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AUTHOR Salvucci, Sameena; Bureika, Rita; Carter, George; Ghosh, Dhiren; Reiser, Mindy; Wenck, Stephen

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ABSTRACT

In response to the need for data on higher education faculty and instructional staff, the National Center for Education Statistics conducted the National Study of Postsecondary Faculty (NSOPF) in 1987-88 and 1992-93. Both cycles of the NSOPF consisted of an institutional component and a faculty component. The earlier study surveyed only faculty with instructional responsibilities, but the later study included all individuals with faculty status. The Institution Questionnaire showed a five percentage point increase in the estimate of part-time instructional faculty between the fall of 1987 and the fall of 1992, but the Faculty Questionnaire did not show this change. Some other discrepancies between the institutional and faculty surveys were noted, and this study was conducted to understand how data about faculty members is kept at institutions and how to improve the NSOPF instruments to gain more accurate and consistent information. Site visits were conducted at five institutions and a telephone interview was held with another. Four focus groups, involving 26 people, were held at educational association meetings with representatives of colleges and universities. Specific suggestions were gathered for improvement in the following areas: (1) the Faculty List collection process; (2) definitions and categories; (3) data requested on the Faculty List Collection Form; (4) improvement of the Faculty List Documentation Form; (5) instructions for preparing machine-readable lists of faculty; and (6) institutional data systems. Six appendixes provide examples of materials used in the study, summaries of site visits and focus groups, and suggested revised NSOPF instructions and forms. (Contains four references.) (SLD)

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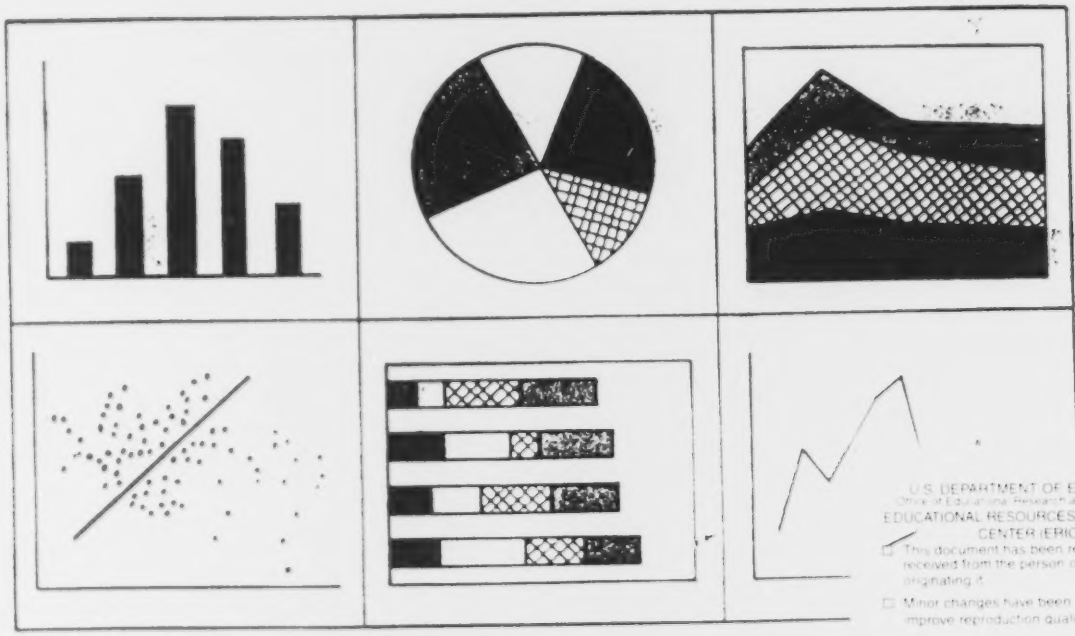

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Strategies for Improving Accuracy of Postsecondary Faculty Lists

Working Paper No. 97-26 October 1997

Contact: Linda Zimbler
Surveys and Cooperative Systems Group
(202) 219-1834
e-mail: linda_zimbler@ed.gov

U.S. Department of Education
Richard W. Riley
Secretary

Office of Educational Research and Improvement
Ricky T. Takai
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Pascal D. Forgione, Jr.
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Surveys and Cooperative Systems Group
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October 1997

Foreword

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The ***Working Paper Series*** was created in order to preserve the information contained in these documents and to promote the sharing of valuable work experience and knowledge. However, these documents were prepared under different formats and did not undergo vigorous NCES publication review and editing prior to their inclusion in the series. Consequently, we encourage users of the series to consult the individual authors for citations.

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Samuel S. Peng
Acting Director
Statistical Standards and Services Group

Strategies for Improving Accuracy of Postsecondary Faculty Lists

Prepared by:

Sameena Salvucci
Rita Bureika
George Carter
Dhiren Ghosh
Mindy Reiser
Stephen Wenck

Synectics for Management Decisions, Inc.

Prepared for:

U.S. Department of Education
Office of Educational Research and Development
National Center for Education Statistics

October 1997

Note to the Reader: The perspective and conclusions contained in this report are those of the participants in the site visits and focus groups, and the authors of this report. The findings and conclusions do not necessarily represent the views or policies of the National Center for Education Statistics (NCES). No official support is intended or should be inferred. The information contained in this report will be reviewed by NCES and the NSOPF National Technical Review Panel before implementing the next NSOPF. Readers are encouraged to weigh the findings in this report along with the findings from the previous NSOPF methodology reports.

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Introduction

BACKGROUND

In response to the continuing need for data on higher education faculty and instructional staff, the National Center for Educational Statistics (NCES) conducted the National Study of Postsecondary Faculty (NSOPF) in 1987-88 and 1992-93. Both cycles of the NSOPF consisted of an institutional component and a faculty component.

The NSOPF-88 was designed to survey only those faculty and staff with instructional responsibilities, whereas the NSOPF-93 was expanded to include all individuals with faculty status regardless of whether or not they had instructional responsibilities. This change was suggested by the National Technical Review Panel (NTRP), a group of individuals considered to be experts on "faculty issues."

The sampling frame for the institutional component of the NSOPF was the NCES' Integrated Postsecondary Education Data System (IPEDS). An institutional representative identified by the institution's Chief Administrative Officer (CAO) was asked to provide a count of instructional faculty (all faculty and instructional staff in NSOPF-93) by employment status, full-versus part-time (and presence or absence of instructional responsibilities for NSOPF-93) for the Fall term.

An institutional coordinator (also identified by the institution's CAO) in each sampled institution was asked to provide a list of their institution's instructional faculty (all faculty and instructional staff in NSOPF-93) during the Fall term. These lists were used to select the faculty and instructional staff sample.

The Institution Questionnaire showed a five percentage point increase in the estimate of part-time instructional faculty between the fall of 1987 and the fall of 1992. However, the Faculty Questionnaire, based on lists of faculty provided by the institution, showed no change in the percentage of part-time instructional faculty between

fall 1987 and fall 1992.

The weighted estimates based on the lists also showed a 37.5 percent decrease in the number of health sciences' instructional faculty from the fall of 1987 to the fall of 1992. Finally, approximately one-half (417 out of 817) of the institutions had discrepancies between the two sources (Institution questionnaire versus faculty lists) of greater than 10 percent.

PURPOSE OF STUDY

This study seeks to understand how data concerning faculty and instructional staff is kept at higher education institutions, and how best to improve the NSOPF data collection instruments and procedures in order to provide more consistent information about faculty and instructional staff in the U.S.

METHOD

This section describes the methods and procedures used in the two phases of this study: (1) formal interviews at selected institutions, and (2) focus groups of personnel responsible for faculty information at institutions.

Site Visits/Interviews

Research staff visited five institutions and conducted a telephone interview with one institution in the Washington-Baltimore area during late September and October, 1996. Institutions were chosen on the basis of NSOPF-93 participation, geographic location, Carnegie type, presence of a medical school, and size of NSOPF-93 discrepancy in faculty counts between the list provided and the institution questionnaire response. According to their Carnegie classifications, institutions selected included two Research I Universities, one Doctoral I University, one Doctoral II University, and two Associate of Arts (Community) Colleges. Two of the institutions had medical schools and law schools; four had a variety of graduate programs. See Appendix D for site visit summaries.

Institutions were invited to participate through a letter from NCES (see Appendix A) which was sent to the Chief Administrative Officer. The CAO was requested to identify an institutional coordinator to be responsible for developing a list of faculty for the Fall term, 1995. Multiple follow-up calls by research staff were required to ensure that the letter was forwarded to the appropriate

office, and received. Three of the participating institutions initially declined to participate due to respondent burden; ultimately all original invitees agreed to be a part of the study.

After consultation with NCES, the scope of the project was changed -- institutions were no longer required to provide lists of faculty and instructional staff and the number of site visits were reduced. Instead, institutional coordinators were asked to review the NSOPF-93 instructions and forms (minor changes were made to the '93 forms to update the time period for data collection to Fall 1995 and to list current contractor name and information). Each institutional coordinator received the packet of materials before the site visit (see Appendix B).

At each of the site visits there were two facilitators who used a semi-structured protocol (see Appendix C). Most interviews were taped and some were attended by NCES and additional contractor staff. Each of the site visits and the telephone interview took approximately one and one-half hours.

Focus Groups

Four focus groups were conducted during which the NSOPF-93 instructions, forms, and procedures were reviewed and commented on by participants. One focus group was conducted at an NCES Advanced Training Seminar in Denver, Colorado on July 31st, one at the College and University Personnel Association (CUPA) annual convention in San Diego, California on October 7th, and two at the Southern Association of Institutional Research (SAIR) annual conference in Mobile, Alabama on October 14th. Focus groups lasted approximately one and one-half hours in Denver and San Diego and approximately 40 minutes each in Mobile.

Twenty-six people participated in the focus groups. Institutions that were represented during the focus groups included eight Associate of Arts (Community) Colleges, six Master's (Comprehensive) Universities, four Research I Universities, three Research II Universities, three Doctoral I Universities, one Baccalaureate I College, and one other. Note: only one Baccalaureate

College participated. Others were invited but could not attend. Participants were invited by telephone, letter, in person, or through a notice in the conference program (SAIR). See Appendix E for focus group summaries.

At each of the focus groups there were two facilitators. Facilitators used a semi-structured protocol (see Appendix C). Most sessions were taped. Some sessions were attended by NCES and additional contractor staff.

STRUCTURE OF REPORT

The remainder of the report describes the findings and participant suggestions from the interviews and focus groups. Note: Participant suggestions are neither endorsed by NCES nor Synectics for Management Decisions, but will be reviewed by NCES and the NTRP before implementing the next NSOPF. The results are sorted into six topical areas:

1. NSOPF-93 Faculty List Collection Process
2. NSOPF-93 Definitions/Categories
3. Data Requested on Faculty List Collection Form
4. Faculty List Documentation Form
5. Instructions for Preparing Machine-Readable Lists of Faculty
6. Institutional Data Systems

Appendices provide examples of materials used in the study, summaries of site visits and focus groups, and suggested revised NSOPF instructions and forms.

Findings: NSOPF-93 Faculty List Collection Process

LIST COLLECTION PROCESS

Interviewees and focus group participants were asked to comment on the NSOPF-93 list collection process, including topics such as the CAO letter, timing, and technical assistance. This chapter summarizes the findings on each of these topics.

CAO Letter

All site visit interviewees, with one exception, and all focus group participants who were asked and who expressed an opinion on this subject, recommended that the request for participation in the NSOPF be sent not to the institution's Chief Administrative Officer (CAO) only. They suggested several options: 1) send the request to the CAO with a copy to the institutional coordinator; 2) send the request to the institutional coordinator and a copy to the CAO, simultaneously; and 3) send the request to the institutional coordinator only [usually the Institutional Researcher (at universities), the Human Resources Director (at some community colleges and smaller colleges), or the IPEDS coordinator] and let that person notify the CAO if they deem it necessary. One interviewee thought that the current process worked well. He wanted the CAO to determine whether the study was one in which the institution wished to participate. The same institutional contact also expressed concern that the request may be ignored if it did not receive the CAO's approval. Of the site visit interviewees, three recommended option one, one recommended option two, one recommended option three, and one recommended no change. Option three was also the favorite in one focus group. Another focus group did not offer a solution but wanted NCES to be aware that if the letter is sent to the CAO, it may not reach the appropriate person.

There were two primary reasons expressed for not sending the letter to the CAO only. The first was timing; it could take from one week to several weeks for the CAO's Office to forward the request to the appropriate university office. The secondary reason was that there may not be consistency as to where requests such as NSOPF are sent within an institution.

Participant Suggestions:

- Develop and maintain a database of institutional coordinators for NSOPF requests. Note: currently such a database does not exist.
- Consider sending a letter only to the Institutional Coordinator or in addition to the CAO.
- Suggest to the CAO titles of people to forward the request to, (e.g., Institutional Researcher).

Department Chairs

Participants did not recommend that faculty and instructional staff lists be collected through the Department Chairs. Department Chairs in many institutions rotate every three to four years and often do not keep a computerized database on Department faculty. Their primary responsibility is providing education to the students and not on administrative details. Lists provided by Chairs may not include administrative faculty who do not teach, or those faculty that teach in a department other than the department of which they are a member. One participant added that the chance for error increases because each Chair would have their own interpretation of the list collection instructions.

Participant Suggestions:

- Do not use Department Chairs to collect list of faculty.

Timing of Request

Some participants recommended that the NSOPF list collection request and the Institution Questionnaire be sent at the same time and perhaps to the same person in order to achieve greater consistency among the two sets of counts.

Some participants recommended that the NSOPF request be sent at the same time or just after the IPEDS Fall Staff Survey. They felt this would reduce NSOPF burden.

Institutions requested four to six weeks to complete the NSOPF request. They preferred receiving the NSOPF list collection request in advance and not just a notification in the form of a call or postcard. Some wanted to be notified as early as the end of August or

beginning of September, so that they could plan the completion of the request into their Fall schedule. Others recommended the month of October. One institutional representative did not want to receive the notification more than six weeks before the due date, because he was concerned that the request would be overlooked if there was too much time given.

Most respondents preferred to complete the request as late in the Fall term as possible for two reasons.
Most could not provide a comprehensive list that would include adjunct faculty before the end of November or the end of the calendar year. (One community college would not be able to provide any information on adjuncts until January or February.) September and October also are very busy months for Institutional Researchers and Human Resource Directors with many competing demands on their time.

Some participants recommended that NSOPF participants use their institution's census date, a date when some institutions freeze their files for the term, which may be October 15th, November 15th, December 31st, or another date for both the list collection and the Institution Questionnaire, in order to achieve greater consistency. Note: not all institutional coordinators have access to comprehensive lists; some only use data gathered at census dates. Access usually depends on the level of sophistication and integration of the institution's data system.

Defining the Fall term as the academic term which includes the date October 15th on the Instructions for Preparing Lists of Faculty did not present a problem to most of the respondents. However, some participants initially misread the date as the due date for the request or the date for which they needed to get faculty and instructional staff counts and not just the date that defines the Fall term.

Participant Suggestions:

- Provide institutions with four to six weeks to complete the request.

- Move the due date as late in the year as possible (after mid-November).
- Send out the list collection request and the Institution Questionnaire at the same time.
- Be aware of the limitations of receiving comprehensive information on adjunct faculty before the end of the calendar year or, in one case, February.
- Clearly list deadlines in the instructions.
- Stamp the envelope containing the NSOPF request, "Time Dated Material."
- Assess the time taken to complete the NSOPF list collection request for NSOPF-93.

Technical Assistance

All participants thought that the 1-800 number for inquiries was the appropriate technical assistance method. Additionally, they recommended providing an e-mail address. Participants also wanted to ensure that the 1-800 number be appropriately staffed to answer both content and technical questions.

Participant Suggestions:

- Keep the 1-800 number and include an e-mail address for inquiries.
- Ensure that the help lines be appropriately staffed for both content and technical expertise

Findings: NSOPF-93 Definitions/Categories

DEFINITIONS/ CATEGORIES

Definitions and categories appear in the Instructions for Preparing Lists of Faculty, the Check List, and the Institution Questionnaire (see Appendix B). This chapter summarizes participant discussion of the definitions and categories in each of these forms.

Instructions for Preparing Lists of Faculty

Several institutional contacts said it would be less burdensome to respond to the NSOPF faculty list request, if they had a clear understanding of the purpose, goals, and parameters of the study. Participants believed that the NSOPF needed a better introduction that clearly identifies the group NCES is seeking to study. This would help put the categories in the "to include" and "not-to-include" lists in perspective. It would reduce the time that it takes the institutional contact to complete the request, perhaps eliminating the need for technical assistance.

Most participants requested greater clarity in the terminology used. They recommended providing a glossary for terms such as: faculty, instructional staff, full-time, part-time, temporary, permanent, and non-instructional personnel, etc. In addition to making it easier for the institutional contacts to complete the request, a glossary would provide consistency in the types of people counted, and thereby allow for better comparability of results. With greater clarity and enhanced comparability, some of the institutional contacts said they would view the study as having greater validity. One participant said she would not have a problem conforming to a glossary even if the terms differed from their institution's usage.

For institutions whose data would be collected on the basis of definitions differing from those presented in a glossary, some participants recommended including a place to footnote the institutions' own definitions and their divergence from the NCES definitions.

Some institutional contacts also requested that the instructions be clear as to whether they are to include

professional school faculty, faculty who teach for-credit only, as well as faculty who teach non-credit courses, librarians, counselors, general faculty, deans and chairs, clinical faculty, post-doctoral students, instructional assistants, unpaid faculty, faculty on extension campuses, and administrators with faculty status who have no teaching responsibilities.

Participants did not have problems with the term faculty, although at some institutions administrators had faculty status regardless of their instructional responsibilities.

Many institutions had faculty who both instruct and conduct research. Several respondents thought that the current wording of the first two "include" categories led some to believe that only faculty and instructional staff that instructed 100 percent or did research 100 percent were to be included. One participant recommended that the first two categories in the Instructions be replaced with one category for faculty "whose regular assignment includes instruction and research." Under this general category, there could then be, if necessary, sub-categories for those faculty who only do research, or who only instruct.

Interviewees from institutions with medical schools said that there are three types of medical school faculty: clinical, teaching, and research faculty; administrative; and adjunct affiliate appointments (unpaid) who have no formal teaching responsibilities but have the privilege of practicing at the universities' teaching hospitals and, therefore, have a variety of professional encounters with medical students and residents. The institutional coordinators interviewed at the two medical institutions included only those faculty that are paid by the university in their faculty counts.

Nearly all of the institutional representatives interviewed would have difficulty including faculty who teach non-credit courses only. The only exception is a community college that in its database does not distinguish adjuncts who teach for-credit from adjuncts who teach not-for-credit courses. At the four-year institutions that participated in our study, non-credit faculty usually are affiliated with the continuing education program. This

program's information is usually stored in a different database from that of the "regular" university faculty. This database is not always computerized. Classes offered through the continuing education program may not start or end at the same time as the institution's other academic terms.

The way institutions define the terms part-time and full-time may cause discrepancies in the counts. Institutions differ in their definition of percentage time worked constituting full-time employment. For example, one institution has "part-time full-time faculty" that may not teach a full load but are still counted as full-time faculty; the full-time identification serves as an identifier of permanent status. A further issue affecting the definition of part-time faculty is whether faculty are teaching part-time in a part-time program, or teaching part-time in a full-time program.

Participants indicated that their institutional databases could not distinguish "temporary replacements" from "temporary faculty or personnel." They recommended eliminating *temporary replacements for instructional and non-instructional personnel* from the *But do not include the following exceptions* listing on page one of the Instructions.

One participant thought that some personnel may be counted more than once, because she believed the categories presented in the Instructions were not mutually exclusive. She recommended that there be a total count line in the Instructions, which could be used by the institutional coordinator as a double-check on the accuracy of their counts.

Participant Suggestions:

- Provide a clear, informative introduction to the NSOPF Instructions outlining the purpose, goals and parameters of the study.
- Provide clear and informative cover letters.
- Provide a glossary of terms, which is consistent with the glossary in the Institution Questionnaire.

- Provide space on the form for institutions to describe problems with or divergence from the NCES definitions.
- List on the form reminders to include or not to include professional school faculty and staff, librarians, counselors, deans, chairs, artists-in-residence, post-docs, language-lab instructors and other categories that NCES either wants or does not want to ensure are counted.
- Replace the two existing "to include" bullets for "instruction" and "only research" with a general category for faculty who instruct and do research.
- Recognize special medical school faculty issues and resolve which staff is to be included and not included.
- Make explicit whether non-credit teaching faculty is to be included. Recognize burden issues on institutions and accuracy of data limitations if this group is to be included.
- Eliminate *temporary replacements for instructional and non-instructional personnel* from the *But do not include the following exceptions* listing on page one of the Instructions.
- Add a total count line to the Instructions.

Check List

All participants requested that the same categories be used for the Instructions for Preparing Lists of Faculty and the Check List, which they currently are not. One participant said she would be very frustrated to discover that after asking for a computer run, the categories on the Check List differed from those in the Instructions and might require a different count.

Several respondents believed that the categories on the Check List were easier to follow.

Several interviewees wondered why the Check List required a notarized affidavit, whether this was necessary, and whether it even achieved its purpose.

Participant Suggestions:

- Use the same categories for the Instructions, Check List, and Institution Questionnaire.
- Consider reevaluating and perhaps eliminating the request for a notarized affidavit.

Institution Questionnaire

Many of the participants would not have read the glossary given its current placement in the Institution Questionnaire.

Participants requested that the same glossary be provided in the Instructions for Preparing Lists of Faculty and the Institution Questionnaire.

One person thought that there may be confusion with the way the categories are written (e.g., *Full-time instructional faculty/staff* may be interpreted as including all staff, not just instructional staff).

Participant Suggestions:

- Move the glossary from the inside front cover of the Institution Questionnaire, or cross reference the glossary in the question which asks for faculty and instructional staff counts.
- Clearly state that it is "instructional staff" not just "staff" that is to be counted.

Findings: Data Requested on Faculty List Collection Form

DATA REQUESTED ON FACULTY LIST COLLECTION FORM	The data elements requested for faculty and instructional staff listed are printed in the Instructions for Preparing Lists of Faculty, the Check List, and the Instructions for Preparing Machine-Readable Lists of Faculty. This chapter summarizes participants' discussion of each data element requested.
Full Name	Did not present a problem with one exception. One focus group participant said her institution would only provide the college catalogue which lists full-time faculty members. This institution did not participate in NSOPF.
Campus address and phone number	Did not ordinarily present a problem; one institution was concerned about confidentiality issues and another forewarned that the addresses and phone numbers may not be accurate.
Home address and telephone number	Almost all institutions recommended dropping this data element. The element was problematic because of security and confidentiality issues and was perceived to be too intrusive.
Department/program affiliation	Did not present a problem; for those members who taught in two or more departments only the primary department would be provided. Participants determined the primary department in two ways: the department which pays the person's salary and the department where the person teaches most of the time.
Academic or teaching discipline	Many institutions could not provide this data element. It was perceived by most as unnecessary and confusing. Many said discipline would be difficult to determine because people often teach in more than one area. For others the database did not include this information. Several asked how discipline differed from department, and what level of sub-discipline was requested. One institutional coordinator would try to locate the faculty

	members' graduate majors. Another recommended using CIP codes.
Race/ethnicity	This element presented problems for some participants. Some institutions did not collect this information. For one, race/ethnicity was determined visually. Several recommended an "other" or "unknown" category.
Gender	Did not present a problem for most institutions, although at two, gender was determined by evaluating the first name.
Full- or part-time status	Did not present a problem.
Employee ID number	For many institutions obtaining the employee identification number presented security and confidentiality issues because at many institutions this ID number was the employee's Social Security number. Some institutions are unwilling and some unable to give out identifying information due to state or institution policy.

Participant Suggestions:

- Eliminate *home address and telephone number*.
- Eliminate *academic or teaching discipline*. One focus group participant suggested asking for CIP codes.
- Add an "other" category to the *race/ethnicity* options.
- One focus group participant suggested that NCES consider an *employee ID* convention that could be used for all participating institutions (e.g., birthdate -- MMDDYY and the last four digits of the SSN) so that social security numbers would not have to be provided.

Findings: Faculty List Documentation Form

FACULTY LIST DOCUMENTATION FORM

Interviewees and focus group participants were asked to comment on the NSOPF-93 Faculty List Documentation Form. This chapter summarizes the findings on this topic.

Over one-half of the site visit participants questioned why NCES needed to know *How many individuals and/or offices provided information for the faculty lists?* and why NCES needed to know the names of those who contributed to the data collection process. Several institutional contacts indicated that this request confused them and led them to believe that NCES did not trust their work.

The institutional coordinators were also concerned that if other contacts were questioned about the counts, those contacts would probably provide erroneous information; the institutional coordinator often combines information from different sources and usually further edits the data received from the other contacts.

Several institutions asked who exactly should be included on the counts and on the list of contacts (Questions 2 and 3); for example, should everyone who helped input data be included. Such a list could be quite lengthy.

Participant Suggestions:

- *Eliminate Question 2 and 3 on the Faculty List Documentation Form.*

Findings: Instructions for Preparing Machine-Readable Lists of Faculty

INSTRUCTIONS FOR PREPARING MACHINE-READABLE LISTS OF FACULTY

Interviewees and focus group participants were asked to comment on the NSOPF-93 Instructions for Preparing Machine-Readable Lists of Faculty. This chapter summarizes findings on this topic.

Participants recommended that NCES be flexible about the types of formats it will accept. Some smaller institutions would not be able to provide information in ASCII format. One institution felt that the language in the Instructions for Preparing Lists of Faculty was "friendly" about accepting different formats, but the language in the Instructions for Preparing the Machine-Readable Lists was directive and inflexible.

Most institutions would put the data on diskette and had the capability to provide the information on tape. At least one college may be able to provide a list in hard copy only. One institution who provided a tape wanted it returned; tapes are usually only loaned.

One liberal arts college requested a formatted disk.

The participants also recommended that data be sent to NCES via e-mail. Note: institutional coordinators would not use e-mail if the data included home addresses and telephone numbers or Social Security numbers.

Three institutions were asked if they would prefer to generate the sample themselves, the results were mixed. One thought it would be more burdensome another thought it would not make a difference, and one institution clearly preferred to choose the sample. One institution remarked that the level of burden would be affected by the level of sophistication of the institution's database; if the database were fully integrated it would be easier to draw a sample.

Participant Suggestions:

- If the contractor has a format preference then list it, but also make it explicit in the instructions that other formats are acceptable.
- After evaluating confidentiality issues, NCES may want to consider accepting information via e-mail.

Findings: Institutional Data Systems

INSTITUTIONAL DATA SYSTEMS

Interviewees and focus group participants were asked to comment on how their institution collects and maintains data on faculty and instructional staff. This chapter summarizes the findings on this topic.

Institutions use a variety of methods to collect and maintain data on faculty and instructional staff. Some gather information from payroll and supplement with data from the various executive vice-presidents' offices, others access a centralized database overseen by human resources, and yet others consolidate information from payroll, human resources, and the budget office.

Many institutions are moving to centralized electronic databases which make reports more consistent. Examples of computer software currently used or soon to be implemented are BANNER, SCT, Genesis, Reflections, and in-house developed systems. Other institutions, especially those that are private, are moving more slowly in this direction and are combining vendor and in-house systems that tie their existing databases together.

One institutional contact suggested that NCES send its staff to intern at colleges and universities to better understand the data collection process.

Participant Suggestions:

- Become aware and understand the impact on the NSOPF survey methodology of the different data systems postsecondary institutions are using or will soon utilize.

- Consider NCES staff internships at postsecondary institutions.

Discussion and Conclusions

We undertook our cognitive research to better understand the range of problems and limitations institutions face when responding to NSOPF requests and how these relate to errors in the faculty lists and counts provided by institutions in previous rounds of the survey.

NSOPF PROBLEMS—TOWARDS SOME SOLUTIONS

In analyzing the mix of issues raised during our site visit interviews and focus groups, we felt it was necessary to bear in mind some important aspects of the history of this study--particularly the experience in the 1992 NSOPF field test and the consequent recommendations.

The 1992-93 National Study of Postsecondary Faculty Field Test Report (Abraham et al., 1994) describes the persistent problem of discrepancies between faculty counts in the Institution Questionnaire and in the Faculty List. This problem was noticed in the 1988 study, conducted by SRI and in the 1992-1993 field test and full-scale study conducted by NORC. Abraham et al. (1994) note that a list/questionnaire discrepancy was found in 83 percent of their field test sample.

Abraham et al. (1994) identified four elements which contributed to the 1992-93 field test discrepancies: (a) definitional problems/questionnaire misinterpretation--the major factor; (b) institutional clerical error; (c) problematic lists; and (d) tracking/ record-keeping problems. They note that in the field test "concise definitions of the relevant terms 'faculty' and 'instructional staff' were not provided." The Technical Review Panel feared that definitions would inadvertently exclude certain categories of faculty. However, the full-scale study did include a very brief glossary of terms as part of the Institution Questionnaire.

The Selfa et al. (1997) study into why there were significant disparities between the 1988 and the 1993 NSOPF full-scale study data as well as the 1993 list/questionnaire data for part-time faculty and for health sciences faculty also pointed to a "definitional problem."

If institutional respondents are relying on the definitions in the instructions and the glossary to decide which faculty instructional staff to include, these definitions become fundamental components of the study. If they are unclear or inconsistent, the integrity and comprehensiveness of all the subsequent data are imperiled. Therefore, it is vital to ask how clear the definitions are? What gaps exist? What needs clarification? This is an area we explored in this study.

In the 1993 survey, definitional differences do exist between the Institution Questionnaire glossary and the instructions to the institutional coordinator for preparing the faculty lists. For example, the Institution Questionnaire glossary defines "instructional faculty/staff" as "all institutional staff (faculty and non-faculty) whose major regular assignment at this institution (more than 50 percent) is instruction." The *Instructions for Preparing Lists of Faculty* is less specific and instructs the respondent to include "those full- and part-time personnel whose regular assignment includes instruction." These differences could well have led to including/excluding different subpopulations of faculty and instructional staff.

Some of the confusion might be resolved by using IPEDS definitions as the basis of the NSOPF glossary. Since institutions must respond to IPEDS, they already have programs for their database systems designed to conform to IPEDS definitions. In addition, NCES might continue to work with other organizations to develop standardized definitions for other terms and concepts used to classify faculty and instructional staff employed by U.S. higher education institutions. An initiative in this direction is the *Handbook on Human Resources Record-Keeping and Analysis* (National Center for Education Statistics, 1996), a project sponsored by NCES and executed jointly by the National Center for Higher Education Management Systems (NCHEMS) and the State Higher Education Executive Officers (SHEEO). This handbook provides a framework of standard definitions and recommended methodologies for the reporting and interpretation of data about higher

education faculty and staff in the United States. With luck, the *Handbook's* definitions of terms and concepts important for the NSOPF survey will be generally accepted in the academic community and can be used in the upcoming NSOPF cycle.

NCES also may wish to work with organizations such as the Association for Institutional Research and the American Personnel Association in collaborating with the developers of the most popular software packages for storage of personnel data--BANNER and SCT--to incorporate the *Handbook's* definitions in their software packages.

Differences in the time periods used caused confusion, too. Some responding institutions did not use the time periods/academic terms indicated. In the next NSOPF cycle, the instructions should be more specific about the timeframe and should include specific examples to help in addressing potential questions.

Another time-related element which contributed to the discrepancies between the lists and questionnaires in the 1993 NSOPF study was the gap between mailing the letters/instructions for the lists and mailing the Institution Questionnaire. According to the NORC technical report (Selfa et al., 1997), "lists were submitted to NORC between October 1992 and July 1993, whereas, the institutional survey was conducted between September 1993 and May 1994." Hence, lapses of 3 to 12 months occurred between receiving the list instructions and completing the questionnaire. This time lag surely contributed significantly to the discrepancies between the faculty count lists and questionnaires, as assumptions and processes employed in one were not necessarily followed in the second. NCES and its contractor should explore the entire range of constraints on the "rollout" of the list/questionnaire activities and aim to reduce the time lag to the minimum.

NORC's data (Selfa et al., 1997) showing that 18 percent of the institutions they recontacted "could not provide a specific reason" for the discrepancies suggests another issue: respondents at colleges and universities need a reason to be committed to providing the very best data they can. Abraham et al. (1994) recommended some

promotional efforts for NSOPF-93, which NCES accepted. So Chief Administrative Officers (CAOs) and institutional representatives received brochures describing NSOPF-93, and the cover letter to the CAOs and representatives (as well as the brochure) included endorsements by 15 higher education/professional associations. NCES now needs to build on this foundation to generate interest and enthusiasm throughout the American higher education community for the next cycle of NSOPF.

NCES has worked with leaders of a number of the major players in the U.S. higher education community, including the American Association of University Professors, the American Council on Education, the American Association of Community Colleges, the Association of American Universities, and the Association for Institutional Research. NCES staff might explore how far beyond that circle of leaders NCES contacts have gone, and how much effort these associations have expended in providing their members with informational/educational materials on NSOPF and other NCES initiatives.

NCES should continue to work with association leaders to produce and place articles and press releases in association newsletters, both print and electronic. NCES and its contractor should also provide speakers at national, regional, and selected state meetings of the organizations mentioned above and others such as the College and University Personnel Association, the National Association of College and University Business Officers, and the American College Personnel Association. Their members will be completing the questionnaires and developing the lists that NCES wants. They need to feel both professionally and personally committed to these activities to minimize discrepancies and transmit comprehensive data and thoughtful responses to NCES requests.

NCES can also support academic administrators and staff by doing everything within its power (as NORC already suggested) to reduce the time burden in responding to its surveys. Additional incentives, such as providing

participating institutions a copy of the public-use NSOPF data file, may also improve "buy-in" by the institutions.

Feedback during our current cognitive study underscores the interest and attention paid to NSOPF by college and university administrators. Directors of Institutional Research, Directors of Human Resources, Vice-Provosts, and other senior academic officials made numerous thoughtful suggestions concerning the purpose and scope of the study. NCES should seriously consider ways to more significantly involve this community in the formulation and analysis of the next NSOPF.

Combining the historical evidence summarized above and the findings from our cognitive research, the following sections propose specific recommendations for changes in definitions and instructions for the NSOPF list collection process. However, our recommendations may change the instructions in ways we cannot anticipate. We strongly recommend testing these changes before implementing them in an actual study. Please see appendix F for a complete packet of revised materials.

FACULTY LIST COLLECTION PROCESS

The current protocol for collecting the faculty lists requires the Chief Administrative Officer (CAO) to identify one person at his institution to coordinate list activity (i.e., the institutional coordinator) and one person to whom the NSOPF Institution Questionnaire can be sent (i.e., the institutional respondent). The CAO is to return a "confirmation form" with both names and addresses. (The institutional coordinator and the institutional respondent can be the same person.) Once the confirmation form is received, the designated institutional coordinator is sent a letter explaining the purpose of the faculty list collection activity and instructions on how to prepare the list while the designated institutional respondent is sent an introductory letter and the Institution Questionnaire.

CAO letter

We suggest that the institutional coordinator now handle both the Faculty List and the Institution Questionnaire, and that this institutional coordinator should be identified before the CAO letter goes out. Then, when the request for the NSOPF-99 faculty list collection is sent to the CAO, a copy could also be sent to the pre-identified institutional coordinator. Simultaneously sending the

letter to the CAO and a copy to the pre-identified institutional coordinator will ensure that if the CAO's approval for the request is necessary then it can be obtained, and that the person NCES deems the best source for compiling the list is expecting the request. This will also allow the institutional coordinator to plan for the request and to check with the CAO should receipt of the official request via the CAO be lost or be unusually delayed.

We suggest that the most appropriate individual to pre-identify as the institutional coordinator would be the Director of the Institutional Research Office or, when this office does not exist, the institution-level individual responsible for the IPEDS Fall Staff Survey data collection effort. Pre-identification would require calling the sampled institutions to identify one of these two types of individual before sending the CAO letter.

Having the same person or office be responsible for both the Institution Questionnaire and the Faculty List will allow for greater consistency between the counts. It may also help decrease response time for the CAO to return the Confirmation Form. During our study, most CAOs returned the form only after call-backs from us. Perhaps providing one name instead of two would decrease the burden on the CAO.

Timing of the Request

We believe that the Institution Questionnaire and the Faculty List request should arrive at the institution at the same time. This will help the respondent plan for both parts and will also increase the probability that the same person completes both.

The Faculty List and Institution Questionnaire should be delivered to the institutions in the beginning of October with a December 15 deadline. Two and one-half months will give the respondents enough time to plan and complete the request, but will not be so long that they forget about it. This time frame will help those institutions who have difficulty compiling a complete list until later in the term for reasons such as adjunct faculty not being entered into their databases until the end of the term and census dates which fall in mid-November.

Department Chairs

We do not believe that Department Chairs should be used in the faculty list process. This would increase the number of respondents exponentially, thus increasing the chance for non-response. This could also lead to problems in getting complete

lists from the departments that do respond for two reasons. One, with an increased number of respondents, there is increased chance for misunderstanding the instructions and, two, Department Chairs tend to be more focused on instruction than administrative issues and thus may not have complete electronic lists with the needed attributes of the faculty in their department.

Technical Assistance

We suggest adding an e-mail address for respondent questions. This would provide an additional avenue for questions and would also allow respondents to tackle answers when their schedules permit. E-mail questions would also be a self-documenting mechanism of the types of problems incurred in compiling the lists—a valuable tool for evaluating the fall '98 collection.

INSTRUCTIONS FOR PREPARING LISTS OF FACULTY

The introductory paragraph needs to be expanded in order to convey clear purpose, goals, and parameters. This will help convince institutions of the importance of participating. We suggest expanding this paragraph into the following paragraphs:

> The National Study of Postsecondary Faculty is the most comprehensive survey of higher education faculty in the United States. It is interested in reaching all individuals with postsecondary instructional responsibilities, regardless of whether teaching is their principal activity. This makes NSOPF a unique opportunity to collect data about the composition of higher education faculty, their work conditions, responsibilities, and attitudes toward their profession. These data are provided to the postsecondary education community, the public, and government agencies to learn about emerging issues and trends within U.S. higher education.
>
> To select the postsecondary faculty who will be asked to complete the NSOPF faculty questionnaire, the National Center for Education Statistics asks a national sample of higher educational institutions to compile lists of faculty at their institution. For the faculty survey to accurately profile America's postsecondary faculty and reflect their concerns, it is important that you follow the instructions below in preparing your institution's list.
>
> Please include all full- and part-time faculty and other instructional personnel for the schools within the UNITID provided, including undergraduate, graduate, and professional (medical, law, etc.) schools. Please note NSOPF surveys a larger group of individuals than faculty (instruction/research/public service) as defined by the Integrated Postsecondary Educational Data System (IPEDS) Fall Staff Survey.

Your list should include those defined as faculty using the IPEDS Fall Staff Survey definition plus two additional categories of personnel: (1) administrators, such as deans, directors, or the equivalent, as well as associate deans, assistant deans, and executive officers of academic departments (chairpersons, heads, or the equivalent), whose principal activity is administrative, but whose assignment includes any for-credit instruction, and (2) all other individuals in the institution with any instructional responsibilities except student teachers or research/teaching assistants. These individuals must either be in residence at your institution or on sabbatical leave during the Fall 1998 academic term.

Your institution may define "faculty" and "non-faculty" personnel or "full-time" and "part-time" status differently than the glossary definitions provided as guidelines. If, in compiling your institution's faculty list, you cannot adhere to the glossary definitions, please interpret these terms as you do at your institution, and write your institution's definitions on the enclosed Faculty List Documentation Form.

Please complete the list collection request by **December 15, 1998**. Please contact us as soon as possible at our toll-free number or e-mail address listed below if you cannot provide a comprehensive list of full- and part-time faculty and other instructional personnel for the Fall term by this date. Also, if you should have any questions about the classification of personnel, and whether they should or should not be included in the list, we encourage you to contact *?????* at *800/xxx-xxxx* or via e-mail at *xxx@xxx*. Survey.

General Instructions and Definitions

The participants in our interviews and focus groups found the directions on the NSOPF-93 instructions confusing. As the faculty list is only a total list (i.e., not broken down by permanent, temporary, tenured, etc.), we suggest that the directions avoid such terms. The participants had a hard time trying to determine who to include or exclude, so we propose giving the respondents a base definition of faculty that they understand—the IPEDS Fall Staff Survey definition of faculty. From this base definition, we will ask for additional personnel NSOPF wants to examine. The following is our suggestion for a revised set of list collection guidelines:

3. List collection guidelines:

   Types of personnel to be included on the list:

   i. *Faculty* (Instruction/Research/Public Service) using IPEDS Fall Staff Survey definition (see glossary below).

   ii. *Administrators*, such as deans, directors, or the equivalent, as well as associate deans, assistant deans, and executive officers of academic

departments (chairpersons, heads, or the equivalent), whose principal activity is administrative, but whose assignment includes any for-credit instruction. Note: these administrators are a subset of the IPEDS category of "Executive, Administrative, and Managerial."

iii. All other *non-faculty instructional personnel* not included in i and ii above. Note: these personnel are a subset of the IPEDS category of "Other Professionals (Support/Service)." See glossary below.

INCLUDE:

- tenured, tenure-track, non-tenured, adjunct, acting, and visiting faculty (including administrators such as deans and department chairs) with full- or part-time status;
- non-faculty status instructional personnel with full- or part-time status;
- undergraduate, graduate, and professional school (e.g., law school, medical school, etc.) faculty and non-faculty instructional personnel for all schools included in the UNITID;
- faculty and non-faculty instructional personnel on sabbatical leave; and
- language lab instructors, if they teach for-credit courses.

EXCLUDE:

- teaching/research assistants and student teachers.

Glossary

To help respondents interpret the terms we are using, we propose placing a glossary immediately following the include and do not include lists. Most focus group and interview participants felt that a glossary would help them identify the correct personnel to include. Many also felt that if their definitions differed from those given in the glossary, they could adapt to the given definition. If respondents are not able to use to the glossary definitions, they can list how their definitions differ on the Faculty List Documentation Form. The proposed glossary appears below:

FACULTY - Employees whose specific assignments customarily are made for the purpose of conducting instruction, research, or public service as a principal activity (or activities), and who hold academic rank titles of professor, associate professor, assistant professor, instructor, lecturer, or the equivalent of any of these academic ranks. If their principal activity is administrative, include deans, directors, or the equivalent, as well as associate deans, assistant deans, and executive officers of academic departments (chairpersons, heads, or the equivalent) if they teach at least one for credit course. If your institution treats librarians and counselors like faculty, include them.[1]

NON-FACULTY INSTRUCTIONAL PERSONNEL - Personnel who do not have faculty status, but whose assignment includes for-credit instruction.

FULL-TIME - Persons on the payroll of the institution (or reporting unit) available for full-time assignment, at least for the period being reviewed or analyzed or those who are designated as "full-time" in an official contract, appointment, or agreement. Normally, those employees who work approximately 40 hours per week for the full year are considered full-time employees.

PART-TIME - Persons on the payroll of the institution (or reporting unit) employed full-time for short periods of time (less than the period under review) as well as those not available to the institution for 100 percent assignment even though they may be employed for the full period.

[1] 1993 IPEDS Fall Staff Survey.

DATA REQUESTED ON FACULTY LIST COLLECTION FORM

We are recommending several changes for this section of the packet.

Because the terms "Department/program affiliation" and "Academic or teaching discipline" are ambiguous, we recommend adding the following language from the *Handbook on Human Resources Record-Keeping and Analysis* (National Center for Education Statistics, 1996).

> d. Department/program affiliation (e.g., English, Engineering, Law, Medicine, Education). The current *home* department or other organization division that has fiscal, programmatic, and administrative responsibilities and to which the employee is attached for purposes of personnel assignment and reporting.
> e. Academic or teaching discipline (e.g., American Literature, Chemical Engineering, Botany). The two-digit code of the Classification of Instructional Programs (CIP) that identifies the current academic discipline of the employee. See attached appendix of NCES CIP codes.

We made a minor change in "d. Department/program affiliation" to answer questions about including or excluding professional schools associated with the sampled institutions. Given the problem with health science faculty on NSOPF-93, this is a serious concern. We added law and medicine--"(e.g., English, Engineering, Law, Medicine, Education)."

We also requested CIP codes in "e. Academic or teaching discipline." In many databases faculty are already identified by CIP codes. This would lead to standardization of this category. Many interview and focus group participants suggested adding a race category for "other." We agree. Adding this category would reduce the number of "not known" for race, and "other" is a valid race category according to the Office of Management and Budget (OMB).

Participants in our interviews and focus groups expressed reservations about providing home address, home telephone number, and employee ID. These reservations stemmed from the obvious security and confidentiality issues, and most participants said that they would not provide this information to NCES. However, the 1992-93 NSOPF Field Test Report (Abraham et al., 1994) not only shows that more than 50 percent of institutions provided home address, home telephone number,

and employee ID, but that faculty questionnaire response rates were about 10 percent higher when the institution supplied a home address. Therefore, we recommend that home address, home telephone number, and employee ID be collected on the faculty list for NSOPF-99.

Institutions might appreciate the option to provide an encrypted employee ID that they could match back to the original employee ID. This would satisfy the institution's need to protect the privacy of its personnel and would allow for NCES follow-up or duplication checking if necessary.

FACULTY LIST DOCUMENTATION FORM

The second and third items on the original of this form were seen as confrontational to many of the participants. They did not understand why the NCES needed to know how many people helped compile the list and their names and phone numbers. We suggest eliminating these two items. If any questions arise concerning the list, we suggest that the data collection agent contact the institutional coordinator. The data collection agent should not be determining who best to ask questions concerning the list, that should be up to the institutional coordinator.

We also recommend adding lines for the respondent to indicate how many floppy diskettes or computer tapes are being submitted as well as how many hard copy lists. This will help ensure that the contractor has the complete faculty package. As mentioned above, we suggest adding space on this form for respondents to explain how their definitions of the faculty administrators, non-faculty instructional staff, full-time, and part-time differ from those in the glossary.

We recommend that the categories on the directions for completing the list, the Check List, as well as the Institution Questionnaire, be identical. Many of the participants were confused by category differences in the two forms; they did not know which set of categories was correct. Below are our proposed revisions to the middle section of the check list.

PLEASE PROVIDE COUNTS BY THE FOLLOWING CATEGORIES OF PERSONNEL:		
	COUNTS	
☐ i. IPEDS Fall Staff Faculty (Instruction/ Research/Public Service)	_____	
☐ ii. Administrators whose principal activity is administrative, but whose assignment includes any for-credit instruction.	+ _____	TOTAL
☐ iii. All other Non-faculty Instructional Personnel not included in i or ii.	+ _____ =	_____

We have added space for respondents to provide counts for each of the three categories of personnel we are requesting so they can ensure that the list is complete and does not contain duplicates.

The first section of the Check List is unchanged. The last section is essentially unchanged except for additional examples given for the Department/program affiliation box.

INSTRUCTIONS FOR PREPARING MACHINE-READABLE LISTS OF FACULTY

Many participants felt that the *Instructions for Preparing Machine-Readable Lists of Faculty* read more harshly than the directions for preparing the list. In proposing revisions to this form, we changed the tone, tried to make NCES more flexible in accepting different formats, while still providing a definite preferred guideline.

One of our earlier proposed changes to the directions leads to an associated change in this form. The proposed revision of switching to the two-digit CIP codes for Academic or teaching discipline would change the length of this field from 20 characters to two characters.

Additionally, we are proposing changing the order of the fields to duplicate the order given in the directions. This proposed revision changes the record layout for the following fields: departmental/program affiliation, academic field or teaching discipline, race/ethnicity, sex, and employee ID. Note that the overall record length is decreased by 18 characters due to the change to CIP codes for academic or teaching discipline, not the reordering of fields.

References

Abraham, S., Selfa, L., & Kuhr, K. (1996). *Technical Report: Discrepancies in Faculty Estimates in the 1992-93 National Study of Postsecondary Faculty.* Prepared in collaboration with K. Wolter, N. Suter, S. Koch, S. Pedlow. Submitted to the National Center for Education Statistics, U.S. Department of Education. Chicago: National Opinion Research Center (NORC), University of Chicago.

National Center for Education Statistics (1996). *Handbook on Human Resources: Recordkeeping and Analysis.* Washington, D.C.: U.S. Department of Education, Office of Educational Research and Improvement.

Abraham, S.Y., Suter, N.A., Spencer, B.D., Johnson, R.A., Zahs, D.A., & Myers, S.L. (1994). *1992-93 National Study of Postsecondary Faculty Field Test Report.* (NCES 93-390). Washington D.C.: National Center for Education Statistics, U.S. Department of Education, Office of Educational Research and Improvement.

Selfa, L.A., Suter, N., Myers, S., Johnson, R.A., Zahs, D.A., Kuhr, B.D., & Abraham, S.Y. (1997). *1993 National Study of Postsecondary Faculty Methodology Report.* Washington, D.C.: National Center for Education Statistics, U.S. Department of Education, Office of Educational Research and Improvement.

APPENDIX A

CAO STUDY PARTICIPATION LETTER

July 29, 1996

Name
Title
Institution Name
Address

Dear [CAO]:

The National Center for Education Statistics (NCES) is seeking your help in a methodological study of how higher education institutions collect and maintain data on their faculty and staff. This is an important area of concern, since NCES provides information on higher education faculty and staff for the nation through three different surveys that rely heavily on institutional data. The Integrated Postsecondary Education Data System's (IPEDS) Faculty Salary Survey gathers information on the number of full-time instructional faculty and their average salaries by rank and gender. The IPEDS Fall Staff Survey collects counts of faculty whose primary responsibility is instruction, research or public service as well as counts of administrative, other professional and other staff by occupational category and employment status (full- or part-time). The National Study of Postsecondary Faculty (NSOPF) samples faculty and instructional staff from lists provided by institutions and obtains information on faculty background, responsibilities, workload, salaries, benefits, and attitudes.

This methodological study is part of an ongoing effort by NCES to improve its data collection activities. We feel that understanding how institutions keep data on faculty and staff, and the sources that are used to complete IPEDS and NSOPF requests is crucial if NCES is to provide meaningful technical assistance to higher education institutions, and if data users are to have confidence in the accuracy, reliability, and consistency of the data NCES disseminates.

NCES has contracted with *Synectics for Management Decisions, Inc.* to conduct this study. In seeking your help, we are requesting that you:

1. Designate an institutional coordinator for the study. This person will act as a liaison with Synectics' staff.

2. Complete the enclosed Confirmation Form, with the name, campus address, and telephone number of the person you have designated as the institutional coordinator, and return it in the enclosed envelope to Synectics within five days.

Once you have identified the institutional coordinator, we will contact that person and ask the coordinator to provide us with a list of faculty and instructional staff at your institution. Synectics will provide instructions for preparing the list and will answer any questions that the institutional coordinator may have about compiling the list. After your institutional coordinator sends the list to Synectics, we will arrange a one-day visit to your campus. While at your campus, Synectics and NCES staff will interview the institutional coordinator and other individuals who may have helped compile the list. We will focus on several questions during the interviews: (1) what difficulties, if any, did your institution have in compiling the list as requested for this study; (2) what procedures did your institution use to compile its list of faculty and instructional staff; (3) what offices at your institution keep information on faculty and staff (e.g., payroll, institutional research); (4) what are the characteristics of the record-keeping systems in these offices; and (5) how complete are the lists kept by these various offices? We will visit each office within your institution that is identified as having a list or lists of faculty and staff, obtain copies of the lists, and interview staff about their information and data systems. These interviews will focus on the characteristics of their record-keeping systems. We would also like to visit and interview two or three department chairpersons to determine if, and how, they maintain lists of faculty.

I want to assure you that all information and data provided by your institution for this study will be held in strictest confidence. Since the purpose of this study is to identify procedures for improving the quality of the nation's data on faculty and staff, we will not be contacting anyone on the lists that we obtain nor will we release any data from this study for any purpose. Additionally, all information that would permit the identification of individuals or institutions is protected by the Family Educational Rights and Privacy Act of 1976 and Section 406(d) of the General Education Provisions Act, as amended by the Hawkins-Stafford Education amendments of 1988, Public Law 100-297.

If you have questions or comments, please contact Rita Bureika of Synectics at (703) 807-2323; or Linda Zimbler, the NCES project officer for this study, at (202) 219-1834.

We appreciate your cooperation in this study and we are confident it will lead to better information on faculty and staff in higher education.

Sincerely,

Paul Planchon
Associate Commissioner

Attachments

Confirmation Form

National Study of Postsecondary Faculty (NSOPF)

Correct label information:
(Write in any address corrections on or alongside the label)

Please type or print

Name of Chief Administrative Officer (if different from above) _____
Last First

Name of Institution _____

Institutional Coordinator. Institutional official who will prepare the lists of faculty for the National Study of Postsecondary Faculty (see "Instructions for Preparing Lists of Faculty") and act as a liaison to the study.

Name _____
Last First

Institutional Title _____

Mailing Address _____

_____

Campus Telephone (____) _____

Please return this form to the government contractor within 5 days. You may fax the form or return it in the pre-addressed envelope provided.

Fax form to:

Rita Bureika
Synectics for Management Decisions, Inc.
Fax: 703/528-2857

Mail form to:

Rita Bureika
Synectics for Management Decisions, Inc.
3030 Clarendon Boulevard
Suite 305
Arlington, VA 22201

BEST COPY AVAILABLE

APPENDIX B

INSTITUTIONAL COORDINATOR PACKET

Dear Institutional Official:

The National Center for Education Statistics (NCES) is seeking your help in a methodological study of how higher education institutions collect and maintain data on their faculty and staff. This is an important area of concern, since NCES provides information on higher education faculty and staff for the nation. Your chief administrative officer has agreed to participate in this study and has designated you as an institutional contact that can provide us with a list of faculty and instructional staff who were employed by your institution during the fall 1995 term.

Three NCES surveys rely heavily on institutional data on faculty and staff. The Integrated Postsecondary Education Data System's (IPEDS) Faculty Salary Survey gathers information on the number of full-time instructional faculty and their average salaries by rank and gender. The IPEDS Fall Staff Survey collects counts of faculty whose primary responsibility is instruction, research or public service as well as counts of administrative, other professional and other staff by occupational category and employment status (full- or part-time). The National Study of Postsecondary Faculty (NSOPF) samples faculty and instructional staff from lists provided by institutions and obtains information on faculty background, responsibilities, workload, salaries, benefits, and attitudes.

This methodological study is part of an ongoing effort by NCES to improve its data collection activities. We feel that understanding how institutions keep data on faculty and staff, and the sources that are used to complete IPEDS and NSOPF requests is crucial if NCES is to provide meaningful technical assistance to higher education institutions, and if data users are to have confidence in the accuracy, reliability, and consistency of the data NCES disseminates. NCES has contracted with *Synectics for Management Decisions, Inc.* to conduct this study.

If possible, we ask that you provide your institution's list of faculty and instructional staff in both hard copy and machine-readable version; Synectics has provided instructions for preparing the list and electronic files. Your list should be accompanied by a completed Faculty List Documentation Form and any other information necessary to interpret the list. We would appreciate receiving your list within two weeks from receipt of this letter.

We will call you in the next few days to make sure that you have received this request, and to help clarify any questions you may have regarding the preparation of the list or regarding the study in general. Once we have received your list, we would like to visit your campus and speak with you regarding how information on faculty and staff is collected and maintained at your institution, and how difficult it was for your institution to provide us with the data requested. If more than one office collects and maintains lists of faculty and staff, we would like to contact the

office(s), obtain their list(s), and interview staff about their information and data system(s). Finally, we also would like to visit and interview two or three department chairpersons to determine if, and how, they maintain list(s) of faculty. Information obtained at each of these meetings will help NCES modify its future data collection procedures related to faculty and staff in order to add to the accuracy, reliability, and consistency of the information on faculty and staff that NCES provides to the Nation.

Data provided by your institution will be held in strictest confidence. Since the purpose of this study is to identify procedures for improving the quality of the nation's data on faculty and staff, we will not be contacting anyone on the lists that we obtain nor will we release any data from this study for any purpose. Additionally, all information that would permit the identification of individuals or institutions is protected by the Family Educational Rights and Privacy Act of 1976 and Section 406(d) of the General Education Provisions Act, as amended by the Hawkins-Stafford Education amendments of 1988, Public Law 100-297.

If you have any questions or comments regarding the study, please contact Rita Bureika of Synectics at (703) 807-2323; or Linda Zimbler, the NCES project officer, at (202) 219-1834.

We appreciate your cooperation in this study and we are confident it will lead to better information on faculty and staff in higher education.

Sincerely,

Paul Planchon
Associate Commissioner

Attachments

Instructions for Preparing Lists of Faculty

Fall 1995 Academic Term

National Study of Postsecondary Faculty (NSOPF)

It is important that you follow the instructions below in preparing your institution's list. Because postsecondary education institutions vary widely in their organizational structures and staffing patterns, we realize that some of the criteria presented below may not apply to your institution. Also, different institutions use different definitions of "faculty" and "non-faculty" positions, "temporary" and "permanent" status, and "full-time" and "part-time" status. In reading the instructions, please interpret these terms according to *your institution's usage*. Should you have any questions about the classification of personnel, or whether they should or should not be included in the lists, we urge you to contact us at our toll-free number listed on the reverse page.

1. The fall 1995 academic term is that term which includes the date October 15, 1995.

2. INCLUDE the following categories personnel on your faculty list:

   - those full- and part-time personnel whose regular assignment includes instruction
   - those full- and part-time faculty whose regular assignment includes only research
   - permanent and temporary faculty, including those who have adjunct, acting, or visiting status
   - permanent and temporary personnel who have any instructional duties, including those who have adjunct, acting, or visiting status
   - faculty and instructional personnel on sabbatical leave
   - administrators and all other personnel who have faculty status.

   BUT DO NOT INCLUDE THE FOLLOWING EXCEPTIONS:

   - faculty and other personnel with instructional duties outside the U.S. (but not on sabbatical leave)
   - temporary replacements for instructional and non-instructional personnel
   - faculty and other instructional and non-instructional personnel on leave without pay
   - teaching and research assistants
   - military personnel who teach only ROTC courses
   - instructional personnel supplied by independent contractors

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3. For each person listed, please provide the following information:

   a. Full name
   b. Campus address and telephone number
   c. Home address and telephone number
   d. Department/program affiliation (e.g., English, Engineering, Education)
   e. Academic or teaching discipline (e.g., American Literature, Chemical Engineering, Botany)
   f. Race/ethnicity:

      White (not of Hispanic origin)
      Black (not of Hispanic origin)
      Hispanic
      Asian or Pacific Islander
      American Indian or Alaskan Native

   g. Gender
   h. Full- or part-time status
   i. Employee ID number

4. If this information is not available on a single master list, please submit all applicable lists. Indicate how many lists are being submitted in item [4] of the Faculty List Documentation Form.

5. Please submit the lists in machine-readable (i.e., diskette or computer tape) and hard copy formats. The "Instructions for Preparing Machine-Readable Lists of Faculty" provide guidelines for formatting machine-readable files.

6. We must receive your lists within two weeks.

7. Please also include a copy of your fall 1995 directory of faculty and staff.

If you have any questions about preparing the lists, please contact Rita Bureika at 800/304-3442.

THANK YOU FOR YOUR COOPERATION

Faculty List Documentation Form

National Study of Postsecondary Faculty (NSOPF)

Correct label information:
(Write in any address corrections on or alongside the label)

Please complete both sides of this form and return it along with the complete faculty lists.

1. **Institutional coordinator information:**

Institutional Coordinator _____
Last name First name

Name of Institution _____

Institutional Title _____

2. **How many individuals and/or offices provided information for the faculty lists?** _____

3. **For each separate individual and/or office (e.g., payroll, personnel, etc.) providing data, list below the name, title, and telephone number of a person we can contact should we have any questions concerning the lists.**

Contact Person				Name of Office (e.g., personnel, payroll, etc.)	Data Provided (e.g., department, discipline, etc.)
Last Name	First Name	Title	Telephone		
1.			( )		
2.			( )		
3.			( )		
4.			( )		
5.			( )		
6.			( )		

4. **Please indicate the format of the faculty lists.**

☐ Hard copy ☞ *How many different hard copy lists are being submitted?* _____

☐ Floppy disk ☞ *Please complete the Instructions for Preparing Machine-Readable Lists of Faculty form.*

☐ Computer tape ☞ *Please complete the Instructions for Preparing Machine-Readable Lists of Faculty form.*

☐ Other ☞ *Please explain:* _____

_____

PLEASE COMPLETE THE REVERSE PAGE

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Check List

National Study of Postsecondary Faculty (NSOPF)

Please complete the checklist below and return it with the faculty list and supplementary materials. If you have any questions about any of the items listed, please contact Rita Bureika at 703/807-2121.

THE PACKET YOU RETURN TO US SHOULD INCLUDE THE FOLLOWING ITEMS

- ☐ Complete lists of faculty and instructional non-faculty (hard copy and machine-readable versions)
- ☐ Completed Faculty List Documentation Form (on the reverse side of this checklist)
- ☐ Directory of faculty and staff
- ☐ Notarized affidavit signed by the institutional coordinator

TO BE COMPLETE THE FACULTY LIST SHOULD INCLUDE THE FOCLOWING CATEGORIES OF PERSONNEL

- ☐ Full-time instructional personnel with faculty status
- ☐ Part-time instructional personnel with faculty status
- ☐ Temporary instructional personnel with faculty status
- ☐ Permanent and temporary personnel who have instructional duties but no faculty status
- ☐ Full-time non-instructional personnel with faculty status
- ☐ Part-time non-instructional personnel with faculty status
- ☐ Temporary non-instructional personnel with faculty status
- ☐ Faculty and other instructional personnel on sabbatical leave

FOR EACH PERSON LISTED, THE FOLLOWING DATA IS REQUESTED

- ☐ Campus addresses and telephone numbers (indicate main mailing address)
- ☐ Home addresses and telephone numbers (indicate mailing address)
- ☐ Department/program affiliation (e.g., English, Engineering, Education)
- ☐ Academic field or teaching discipline (e.g., American Literature, Chemical Engineering, Botany)
- ☐ Race/ethnicity
- ☐ Gender
- ☐ Full-time or part-time status
- ☐ Employee ID number

5. Is there any additional information (e.g., faculty designations, abbreviations, codes, etc.) which would assist us in reading the lists? Please explain, and include any necessary documentation with the lists.

_____

_____

_____

_____

Return this form and other documentation to:

Rita Bureika
Synectics for Management Decisions, Inc.
Suite 305
3030 Clarendon Boulevard
Arlington, VA 22201

BEST COPY AVAILABLE

Instructions for Preparing Machine-Readable Lists of Faculty

National Study of Postsecondary Faculty (NSOPF)

Please follow the guidelines below when preparing machine-readable lists of faculty. We realize that computer capabilities vary widely across institutions and that some of these guidelines cannot be met; be sure to provide documentation to describe any special circumstances or deviations from these guidelines. Please also enclose a hard copy of the list along with your electronic file or computer tape.

FOR ALL MACHINE-READABLE FACULTY LISTS USE THE FOLLOWING FILE LAYOUT. THE FILE WILL BE READ BASED ON COLUMNS SPECIFIED BY THE NUMBER OF CHARACTERS. DO NOT USE SPECIAL CHARACTERS OR DELIMITERS. FILL ANY BLANK FIELDS WITH THE SYMBOL "5".

Starting Column No.	No. of Characters	Field
1	25	First name
26	25	Last name
51	1	Middle initial
52	35	Campus address line 1
87	35	Campus address line 2
122	20	Campus city
142	2	Campus state
144	9	Campus zipcode
153	14	Campus telephone number
167	35	Home address line 1
202	35	Home address line 2
237	20	Home city
257	2	Home state
259	9	Home zipcode
268	10	Home telephone number
278	9	Employee ID number
287	20	Academic field or teaching discipline
307	20	Departmental/program affiliation
327	1	Race/ethnicity code 1-5, as follows: 1= White (not of Hispanic origin) 2= Black (not of Hispanic origin) 3= Hispanic 4= Asian or Pacific Islander 5= American Indian or Alaskan Native
328	1	Gender (1=male, 2=female)
329	1	Full-time or part-time status (1=full, 2=part)

FLOPPY DISKS SHOULD BE PROVIDED IN ASCII FORMAT
FLOPPY DISKS SHOULD BE FORMATTED FOR MS-DOS 3.0 (OR LATER VERSION)

FOR EACH FACULTY LIST ON COMPUTER TAPE, PLEASE PROVIDE THE FOLLOWING INFORMATION:

a. Tape label (external VOL=SER)_____

b. Density (BPI): ____6250 ____1600

c. Recording mode: ____EBCDIC ____ASCII

d. External labeling: ____none ____labelled

e. Logical record length ____ Number of records _____

f. Record format (FB, for fixed block, *for example*) _____

g. Sequential tape label on which file is located_____

h. Data set name (DSN, if any)_____

FACULTY LISTS ON COMPUTER TAPE SHOULD BE PROVIDED ON 9 TRACK TAPE

Return this form along with machine-readable file, hard copy lists, and other documentation to:

Rita Bureika
Synectics for Management Decisions, Inc.
Suite 305
3030 Clarendon Boulevard
Arlington, VA 22201

BEST COPY AVAILABLE

APPENDIX C

NSOPF SITE VISIT AND FOCUS GROUP PROTOCOL

NSOPF SITE VISIT AND FOCUS GROUP PROTOCOL

Before the Visit/Focus Group

Review the NORC recontact packets and be aware of the names of individuals who were listed as responsible for preparing the list, responding to the Institution Survey, and providing recontact information.

Determine if the institution has one and only one UNITID for IPEDS or if the institution has branch campuses or schools within the institution which have separate UNITIDs.

Explain Why We Are Here...

The National Study of Postsecondary Faculty (NSOPF) provides data on faculty and instructional staff in our nation's colleges and universities. NSOPF obtains estimates of faculty and instructional staff from two sources: through a list of faculty and instructional staff provided by the institution and through responses to items in an Institution Survey that asks about the number of faculty and instructional staff at the institution.

The Chief Administrative Officer (CAO), as identified for the institution on the Integrated Postsecondary Education Data System (IPEDS) Institutional Characteristics (IC) Survey, appointed someone to be responsible for providing NCES with a list of faculty and instructional staff for the institution. This was the list from which the NSOPF-93 faculty sample was taken.

The CAO also identified an institutional respondent who completed the Institution Survey for NSOPF-93. Sometimes this was the same person, but often it was not. One of the primary issues addressed on the Institution Survey was academic turnover. For this reason, the institutional respondent was asked to provide a count of faculty and instructional staff by employment status, full- versus part-time, and presence or absence of instructional responsibilities.

The weighted estimates based on the faculty lists and the Institution Survey were different. Although some variance in the estimates based on the lists and the Institution Survey was expected, the magnitude of the difference was large. This, in and of itself, was not seen as a problem, since the estimates were from two different sources. What was less plausible were the trends in the estimates of part-time faculty between NSOPF-88 and NSOPF-93. The Institution Survey showed a 5 percentage point increase in the estimate of part-time faculty between the fall of 1987 and the fall of 1992. The Faculty Survey, based on the lists of faculty and instructional staff provided by the institution, showed no change in the percentage of part-time faculty between the two points in time. There was no change in the estimate despite the fact that NSOPF-88 was designed to survey only those faculty and staff with instructional responsibilities and NSOPF-93 was

expanded to include all individuals with faculty status regardless of whether or not they had instructional responsibilities. This change was a result of criticism NCES received from its National Technical Review Panel (NTRP), a group of individuals considered to be experts on "faculty issues."

The weighted estimates based on the lists also showed a 37.5 percent decrease in the number of health sciences' faculty and instructional staff from the fall of 1987 to the fall of 1992. Finally, approximately one-half (417/817) of the institutions had discrepancies between the two sources of greater than 10 percent.

We would like to get your help because we are having difficulty obtaining consistent estimates of faculty and instructional staff in the country. Of course there are institutions that do not vary as much and then there are institutions that vary much more than 10 percent. This is not an evaluation of your work, but a broad study to understand how data are gathered and maintained at higher education institutions in the country. We would like to know if there are ways that we can obtain more accurate and consistent estimates between the two sources of data. We are open to any suggestions you may have about this issue. Perhaps if we change things like the timing of our requests, who we want institutions to include, or how we ask for the information, we can get better estimates. The results of this study will be used to develop recommendations on changes to the administration of future cycles of NSOPF and will add to our understanding of how institutions maintain information on staff, in general, which will in turn add to the effectiveness of IPEDS, another NCES study. In short, we need your help!

Instructions

Show them the "Instructions for Preparing Lists of Faculty" and ask them to tell us where there is ambiguity or a better way to ask for information and/or alternative information that we should be asking.

Can they provide lists according to the definitions we have asked for? Can they compile a comprehensive list?

Ask them to read aloud each item of the instructions separately beginning with the first paragraph of the instructions and record any comments or questions they may have about them (site-visit only).

Was it clear from the written instructions which faculty and instructional staff should be included or excluded from your list. For example, is it clear whether clinical medical/dental/legal faculty and or instructional staff should be included? Agricultural extension staff? Artists-in-residence, diplomats-in-residence? Give examples of definitions of inclusion and exclusion and ask about each one. What are some examples of faculty and instructional staff in unconventional areas at your institution?

Repeat this process of getting general reactions and then having the respondent read aloud (site-visit only) the instructions section by section for the "Faculty List Documentation Form," "Check List," and "Instructions for Preparing Machine-Readable Lists of Faculty."

Specific Questions about NCES Process

Right now we ask the chief administrative officer to designate someone to respond to our request for lists. Is this the best way or should we ask someone directly to respond (e.g., IR office or, if different, the IPEDS coordinator) and cc the chief administrative officer?

Are there better places within an institution to get complete lists of who teaches and does research? (e.g. IR, Academic Affairs Office, etc.)

Is there anything we can do to get more timely lists? Any suggestions to get more timely lists (e.g. send directly to the IPEDS coordinator and telephone them to encourage to respond and remind them of what we need on the lists). Contact the institutions several months ahead of time to let them know that we will want a list for a particular time of the year? Is it realistic to expect electronic lists?

What could NCES do to make compiling the master list of faculty and instructional staff easier for the institutions to respond to? Would a phone call early in the list preparation help them? Would it be helpful for us to explain that in the past people have forgotten to include certain types of people? (i.e., part-time faculty and instructional staff, medical faculty)

Definitions

If we are interested in learning about individuals who *teach* and do *research* at their university, is this the best way to get at those people? If not what changes would they make? If we are trying to collect information on people who affect students, who should we include?

Is there a group of people that would include more than teachers and researchers that would be easier to generate a list for and then we could weed out those that we did not want?

Do some/all individuals who teach or do research have faculty status at their institution? Please explain.

Timing

Can they provide lists for the fall of a year, or if not what time period can they provide one for that would give us the most complete count of the individuals who teach and do research at their institution? (including people who only work part-time for part of the year, or are in specialized areas such as medicine).

What is the best month to compile a comprehensive list?

Specific Questions about the Institution's Process

Please describe for us the process you went through/would go through to identify the appropriate sources to compile a list within your institution.

- In determining the sources within your institution needed to compile the list, did you/would you consult with anyone either in your own office or in another office? If so, who? (name, institutional title, office) What kind of instructions did you give them? (wait for a response…then ask:
  - Did you provide them with the forms sent to you by NCES?
    "Instructions for Preparing Lists of Faculty"?
    "Faculty List Documentation Form"?
    "Instructions for Preparing Machine-Readable Lists of Faculty"?
    "Check List"?
  - What, if any, clarification did you provide?
- Did you have any problems determining the appropriate people to contact to develop the list? (For example, not knowing the right contact person(s), having to spend a lot of time tracking down the right person(s), having to follow-up with multiple people in order to compile the complete list)

Was the process you followed to compile the list a standard procedure or was it something very different from the institution's perspective?

What kind of faculty and instructional staff would be the most likely to be omitted from your institution's list?

What types of databases on personnel are kept at their institution and what types of information is on them? (e.g. faculty status, teaching, research, administrative duties, department, discipline, or program area, race/ethnicity, employment status)

Are you responsible for responding to IPEDS? Specifically, Fall Staff or Salaries? Is the procedure for completing IPEDS any different from the procedure for completing NSOPF at your institution? Does your institution have a procedure which is followed for all surveys done for internal use and in response to requests by public and private agencies?

Institution Survey

Show them question 1 of the Institution Survey which asks for the total faculty/staff in each of four categories. (Full-time instructional faculty/staff, Part-time instructional faculty/staff, Full-time non-instructional faculty, and Part-time non-instructional faculty) Can the institution provide these totals? When would these categories not add up to the total on the list?

Overall Recommendations

What is the ideal way to collect complete and accurate lists of faculty and instructional staff?

What is the most realistic way to collect complete and accurate lists of faculty and instructional staff?

What changes would you recommend to the overall process?

What changes would you recommend to the instructions?

Thank-you! Thank-you! Thank-you!

Offer copies of Instructional Faculty and Staff: Who Are They and What Do They Do?

APPENDIX D

SITE VISIT SUMMARIES

NSOPF SITE VISITS

INTERVIEW WITH THE DIRECTOR OF INSTITUTIONAL RESEARCH

RESEARCH UNIVERSITY I (with medical, law, and business schools)

September 26, 1996

Discrepancy: 9.377 (QPCT)
Comments: Included in recontact because of presence of health sciences faculty. Confirmed including health science faculty in list, but said QUEX provided most accurate counts.
For NSOPF-93: The interviewee held his current position and was the institutional coordinator and institutional respondent.

HIGHLIGHTS

- The Director of Institutional Research is the ultimate watchdog of the accuracy and integrity of the data submitted to NCES; if he does not correct for systematic errors, generally no one else will.

- Problem of verification of faculty data if taken from payroll data system (for sex, race); also, inability of payroll system to indicate joint appointments (faculty/administrative) --payroll entry clerks must make forced choices on designation of categories. Neither will the payroll system classify medical school department chairs as faculty; they don't teach -- consequently, they are listed by payroll in the separate designation of department chairs.

- The Director of Institutional Research has maintained his own faculty list -- based on lists held by the Executive Vice Presidents of the major university units, and the list maintained by the Director of Faculty Personnel. When this institution moves to a new faculty information system -- Genesis -- to be in place in spring 1997, all data will be integrated and the Director of Institutional Research will no longer maintain a separate faculty file.

- The medical school organizes and defines its faculty roles in a strikingly different fashion from the College of Arts and Sciences. The only medical school faculty whose roles are similar to those of arts and sciences faculty, are faculty in basic

sciences. Clinical medical school faculty may have as their sole teaching responsibility doing rounds with students. Further, there is the category of "voluntary faculty" -- physicians who are granted the privilege of admitting patients to the university hospital, but who are not paid by the institution. These 2,000 people have some interaction with medical students, but do not teach. He did not classify these people as university faculty for NCES purposes, but other directors of institutional research may classify them differently.

- Continuing education faculty are divided into two groups: those with faculty status who teach for-credit courses; those with non-faculty status who teach non-credit courses. The later group are not included in any faculty counts submitted to NCES.

- The university is internally inconsistent in the way it counts visiting faculty. They are sometimes counted as part of their home institution, even while teaching somewhere else; sometimes not.

RECOMMENDATIONS

- Need for greater specificity as to what/who should be included or excluded from the faculty lists prepared for NSOPF. Make it clear that professional schools are to be included; provide guidance as to whether unpaid faculty are to be counted (noting the case of faculty from religious orders); indicate whether people such as language drill instructors are to be counted; clarify how visiting faculty are to be classified (whether belonging to host or home institutions).

- Exclude faculty on sabbatical and include their temporary replacements.

- Send out the initial request to the institution one month prior to deadline, followed by a reminder two weeks later either by telephone or by mail.

- The request for participation in NSOPF should be simultaneously sent both to the Chief Administrative Officer and to either the Director of Institutional Research or the institution level IPEDS respondent.

- Send participating institutions a formatted floppy disk with a label affixed that they can then return to NCES.

- Indicate whether there are any specifications for the hard copy of the faculty list.

- The Institutional Questionnaire and the request for Faculty Lists should be sent out to institutions at the same time.

FINDINGS

The Director of Institutional Research began our discussion by indicating his pleasure in meeting with NCES representatives; this meeting would provide NCES with a better understanding of the problems this institution encounters in responding to NCES requests; many factors affected his university's ability to respond to NCES.

Specific Questions about the Institution's Process

This institution has a 25-year old payroll system designed to generate paychecks-- this payroll generating system has fields for name, address, social security number, sex, and race. There is no routine process in place, however, for verifying the information contained in the files -- for example, the data entry person may wrongly designate sex based on his/her identification of a name as either male or female.

Payroll-generated data on faculty have other sources of error, as well. The payroll file system cannot designate joint appointments such as individuals holding both administrative and faculty appointments. Again, the data entry person determines the master designation the individual will receive.

Because of these errors/omissions, the Director of Institutional Research also relies upon what he terms "supplemental systems" to prepare comprehensive faculty lists. A number of the Executive Vice Presidents (Main Campus -- Undergraduate and Graduate Arts and Sciences; Medical Center, Law Center) maintain their own systems with faculty information. The Director of Institutional Research makes use of these systems, along with information held by the Director of Faculty Personnel on appointments, contracts, and tenure, to develop his own system. He updates his system quarterly.

The information held by the Director of Faculty Personnel, however, is also not error-free. Adjunct or visiting faculty may be terminated on the payroll, but the Faculty Personnel Office may not know about this and such information will not be reflected in their data base. Joint appointments, such as a joint administrative and faculty appointment, lead to discrepancies, as well. Because the Director of Institutional Research knows of the likelihood of such sources of error, he cross-checks the data bases -- comparing faculty data with payroll data.

This institution is in the process of installing a new faculty information system, Genesis, which is to be operative in Spring 1997. Genesis will integrate the university's faculty data; he plans to discontinue keeping his own faculty file when Genesis is in place.

<u>The Medical School</u>

The Medical School was organized in a manner distinct from that of the rest of the university -- and had a framework and culture all its own. The Medical School specifically hired people to be Department Chairs; in the medical school, however, these

people did not teach. In the payroll data base, these individuals are categorized as Department Chairs, and not faculty. He has to remember to count these people as faculty in the lists he prepares.

It was unclear from the Instructions for Preparing Lists of Faculty for the NSOPF whether professional schools were to be included. He did include the Medical and Law School faculty in his reporting to NCES.

The Basic Sciences are the only part of the Medical School organized like academic departments in the rest of the university, with department chairs and faculty who actually teach students. In the Medical School's Clinical Departments, there are "scores of different arrangements" varying with the particular department. People designated as faculty may not teach in the conventional academic sense of the term -- their teaching occurs when they do rounds with the medical students. These men and women are really practicing physicians, but are classified as faculty.

The Medical School has another category of faculty -- unique to medical schools. These are voluntary faculty, not paid by the university, but granted permission by this institution's hospital to admit patients. These physicians are given faculty status as they have some interaction with students. He excludes these people from his reporting to NCES; although for other types of reporting he does, he may include them. Some 2,000 men and women fall under the rubric of voluntary faculty at this institution.

The NSOPF Instructions should clarify whether faculty who are unpaid should be included in faculty listings. NCES should keep in mind the special circumstances of religious institutions and faculty who are members of religious bodies. NCES should indicate that unpaid faculty from religious orders should be included in faculty counts.

Medical schools are trying to eliminate tenure track positions because of the national fluidity in funding for health care institutions and academic medical centers; new titles such as clinical educator are emerging for medical school faculty. If the data base termed these people faculty, he would include them as faculty for NSOPF reporting.

Visiting Faculty

This institution is inconsistent in how it classifies visiting faculty -- whether they are counted as belonging to their home institution or to the institution at which they are visiting. This institution presently has faculty visiting at Harvard, and it send paychecks on their behalf to Harvard. Conversely, it is currently receiving checks from several institutions on behalf of their visiting faculty members. This is a particular issue in the law school.

Classification of Faculty

This institution has on its payroll people teaching students who do not fall under the university's classification of teaching assistants or faculty. The Director of Institutional Research specifically identified "Drill Instructors" as falling in this realm -- these are people who drill students in foreign languages. The drill instructors may be students in their senior year who have done very well in their language courses, or other people with special language skills. It would be hard for him to ferret out the drill instructors from others on the university payroll.

At this institution, only some of the full-time researchers are considered to have faculty status. The number of people conducting full-time research and who are categorized as faculty might be on the order of 10 percent of the total faculty; while those doing research full-time without faculty status would be about 5 percent. The bestowal of faculty status was determined by the original contract negotiations between the individual and the university.

Land grant institutions differed as to whether agricultural extension agents received faculty status. In some institutions they did; in others, they did not.

The American Association of University Professors, in the instructions it provides to institutions for completing its surveys of faculty, indicates that faculty on sabbaticals are to be included in enumerations of current faculty -- while their replacements are not to be counted. If faculty are on leaves of absence, then AAUP instructs institutions to include their replacements in the faculty count. The Director of Institutional Research recommended the NSOPF instruct universities to exclude faculty on sabbatical from their faculty count and include temporary personnel. He noted that the data bases could differentiate between sabbaticals and leaves of absence.

Continuing education courses were taught by both faculty and non-faculty. For-credit courses were taught by regular faculty; non-credit courses were taught by people on contracts. These people were not designated as faculty by the university, and did not appear in faculty counts provided by the Office of Institutional Research.
Artists-in-residence would typically be categorized as faculty and so would be included in the university's faculty count.

Timing of Survey

Fall is as easy a time for collecting faculty data, as any other period. *[At the end of the interview, however, the Director of Institutional Research said that it was probably best to ask for a Fall faculty list in January]* By October 31, courses are settled and all the data is in the university's data base. The Director of Institutional Research felt that if NCES were to ask for a Fall faculty list as of October 31 that it would represent the most typical set of Fall faculty. By December 31, a cumulative faculty count for the semester

would be obtainable. On June 30, faculty data for the last fiscal year would be available. Requests for information needed to be specific, however.

It takes the Director of Institutional Research about half a day to complete the NSOPF survey. He completes the survey, himself, utilizing his own data base described above, assembled from different university sources.

One month's lead time from NCES for completing the survey would be desirable. NCES should first send out its full initial request, and then follow up with a reminder within two weeks. This is important for him in allocating sufficient time for this activity, as "every day someone comes in and wants to know something."

Specific Questions about NCES Process

If the initial request to participate in NSOPF is sent just to the Chief Administrative Officer of the institution, it could take a month before it reaches the appropriate person. The Director of Institutional Research suggested simultaneously sending the request to the President of the university, with a copy to the contact person NCES knows would actually complete the survey. In most institutions, the office which would be most likely to complete the survey would be either the Office of Institutional Research, or the IPEDS coordinator (who may well be in the Office of Institutional Research).

Instructions

Instructions for Preparing Lists of Faculty

Definitions. Recommended combining the first two bullets in the INCLUDE part of the definition as

- those full- and part-time faculty whose regular assignment includes instruction and/or research

Teaching and research assistants should not be included in the NSOPF survey. They were primarily students, and should be subjects of another survey.

Faculty Addresses. It is "problematic" to provide faculty campus addresses and telephone numbers for the faculty list. It is "even more problematic" to provide faculty home addresses and telephone numbers. The university's directory is not published until December or January. But with the new Genesis faculty information system, data retrieval on faculty should be easier.

He suggested having the universities initially provide only the names of faculty; if specific faculty members were later selected to receive the faculty questionnaire, then universities could provide NCES with their addresses and telephone numbers. Indeed, institutions might also provide NCES with faculty mailing labels. It was noted, however, that for the sampling itself, data such as race and gender would be needed.

Faculty List Documentation Form

The Director of Institutional Research felt that the Institutional Coordinator should be the conduit for further contacts in the university. It was additional effort for the Institutional Coordinator to indicate, as requested in question 3, the names/titles/telephone numbers of all those providing information for the faculty lists. Further, by requesting all this information, NCES might give the Institutional Coordinator the impression that it is going to check up on him/her. This could well offend the Institutional Coordinator.

Question 2, which simply asked the number of individuals/offices providing information for the faculty lists, did not present any difficulties for him and was "all right."

Checklist

The checklist could be condensed. He read the term "instructional personnel" as used in the checklist as "faculty" -- the term that he customarily employed. The language in the Instructions for Preparing Lists of Faculty and the Checklist should be the same.

Instructions for Preparing Machine-Readable Lists of Faculty

If there are any specifications for the hard copy that institutions are asked to provide to NCES, they should be indicated on the instruction form. He suggested sending institutions a formatted floppy disk, which they could then return to NCES with the requisite information (and simply add the institution's name to a label NCES would already have affixed to the floppy).

Institutional Questionnaire

He thought his own definition of faculty was close enough to that used by NCES that it was unnecessary to write it in. However, the definition set out in the questionnaire was clearer. The institutional questionnaire and the request for faculty list should be sent out at the same time.

General Observations

The more careful NCES is with its definitions of whom to include or exclude, the simpler the request, the easier it will be for Directors of Institutional Research or other respondents to complete the NSOPF. "Don't ask for too much!"

It would be good for the institutions participating in the NSOPF to receive reports on the survey findings in a relatively timely manner.

He thought it would be difficult to collect faculty lists from department chairs. Some department chairs would keep comprehensive lists, themselves; others would not and would rely on whatever department secretaries would do.

NSOPF TELEPHONE INTERVIEW

INTERVIEW WITH THE DIRECTOR OF INSTITUTIONAL RESEARCH

DOCTORAL UNIVERSITY II

October 1, 1996

Discrepancy: -5.61 (QPCT)
Comments: Not selected for recontact.
For NSOPF-93: The Associate Vice President for Academic Affairs was the institutional coordinator. The Assistant Director of Institutional Research helped fill the request. The current Director of Institutional Research held her current position at that time and answered Institutional Questionnaire questions 1a-d, 2a, 2f, 6a-d, 17, and 20a, b, f.

HIGHLIGHTS

- The structure of the current data-entry system of the 11-campus state university does not allow for fully accurate enumerations of faculty and instructional staff holding multiple positions, or those paid from multiple funding sources. For example, administrators and department chairs are considered faculty but may not be reported as faculty on surveys. Faculty members holding positions on two or more of the university system's campuses may be listed as part-time faculty in the database, while they are, indeed, full-time for the system. Consequently, full-time faculty may be undercounted by 5 percent for the system, and part-time faculty overcounted by the same percentage. These problems should be overcome with the inauguration of a new university-wide data-entry system able to accept multiple listings. The system is planned to be operational in 1998.

- Part-time faculty are often hired on a semester-on/semester-off basis. The complex process departments must follow to indicate hiring and separation of part-time faculty on the university's human resource data base, discourages departments from indicating separations. Consequently, part-time faculty and graduate assistants are overcounted. The new system should correct this problem by enabling departments to flag the files of their part-time faculty and graduate assistants as currently active or inactive.

- If teaching is just an "occasional" activity of a faculty member, the current data-base cannot designate this, and neither would the new system be able to "catch" this.

Temporary faculty are not included in the official workforce count. The database system cannot determine who is replacing whom.

- Continuing education faculty who are recruited specifically to teach continuing education courses are not included in the database. Only those faculty members who are already teaching for-credit courses and, in addition, teach continuing education courses would be included in the database.

- The status of librarians varies by institution. This institution does not classify librarians as faculty members and terms them "Associate Staff."

RECOMMENDATIONS

- In completing NSOPF, a glossary would be valuable. Any clarification in the instructions as to who should be included or excluded would be helpful. For example, the term "instructional personnel" is not clear. In its instructions, NCES should distinguish instructional from research personnel. NCES should also clarify whether chairs are to be listed as faculty.

- Faculty counts for the Institutional Questionnaire should be collected at the same time as the list collection. The policy component of the Institutional Questionnaire could be sent out separately, and at a different time from the section of the Questionnaire focusing on the faculty count.

- The language indicating the specifications for inclusion/exclusion of faculty in the instructions and checklist needs to match.

- The request to participate in the NSOPF should be simultaneously sent to the Director of Institutional Research and the Chief Administrative Officer.

- Calling the institution prior to sending out the NSOPF would be helpful.

FINDINGS

Specific Questions about the Institution's Process

This state university has 11 campuses. All the campuses in the system send their personnel files to the university system office which in turn transmits the files to the state higher education commission. The university maintains a separate payroll data base. The university system maintains a double data entry system -- it has a separate human resources data system, and a separate payroll data system. Current problems with the system include the correctness of title codes, and the timeliness of entry of information.

A new data base will integrate the two data entry systems of the 11 campuses. The system which is planned to be operational in 1998 will allow greater access to the data.

Under the current system, if an individual is paid from multiple funding sources, or if the individual holds multiple positions, errors arise in accurately listing this individual in the university system faculty count. If a full-time person is paid from two funding sources, they may be erroneously listed as part-time with one of their funding sources eliminated. Similarly, if an individual has a joint appointment on two campuses of the state system, they may be misrepresented as part-time. The campus that pays 51 percent of the faculty member's salary will report him/her as part of their campuses' faculty count.

Thus, currently some 5 percent of full-time faculty may be undercounted as full-time faculty; with a consequent overcount of part-time faculty. However, under the new system much of this source of error will be eliminated as the system will be able to accurately indicate faculty with multiple positions and multiple funding sources.

The state university budget system has a budget line for each full-time employee (employed for a year); part time employees are handled differently. The fiscal year begins on July 1st. On September 30, the human resource database is frozen for the fiscal year. There is no on-line integration from the budget to the human resources system. Faculty recruiting is independent from the work of the Human Resources Office. However, paperwork on faculty hiring is sent to the Human Resources Office and this information is then entered into the human resource database.

Part-time Faculty

The hiring process for part-time faculty is somewhat different than that for hiring full-time faculty, and consequently leads to problems in generating accurate overall faculty counts for the institution. At the state university system, part-time faculty may be hired for one semester, not hired for a second semester, and then hired again for the third semester. The process of taking people off the human resource database as part of their separation from the university is so complicated due to the time involved and the paperwork entailed, that departments hiring part-time faculty do not want to take these people off the database -- knowing that if they do so, they will only have to repeat the complicated process again when these people are rehired. This then leads to an overcount of part-time faculty by the university -- as separations of part-time faculty are not recorded in the human resource database. A similar problem exists in the enumeration of graduate assistants -- leading, as well, to overcounts in their numbers.

The new system will address this problem, as it will allow departments to simply indicate active or inactive status for their part-time faculty pool -- thus, removing a significant impediment to accurate faculty counts.

Title Codes

The title codes employed by the university can serve as sources of errors in designation of faculty. "Chairperson" and "Executive" (as in "Executive Director" or "Executive Vice President") are used as title codes -- but to count those designated by these codes as faculty, human resources staff would have to override the title codes and include the chairpersons and executives as faculty. Since there is turnover in the staff of the Human Resources Department, coding is inconsistent. A Chairperson can be coded as Professor or Chair, Professor or Director. Human Resources assigns one title per person (based on 50 percent or more time) and "loses" the second title in its designations.

The Human Resources Department makes a variety of other coding errors occur, as well, misconstruing data or miscoding.

Data on Adjunct, Acting, and Visiting Faculty are obtainable from the database. The title codes will distinguish faculty from other university employees.

Full-time/Part-time Status

In the university system, a full-time employee is considered to be a 100 percent time employee. Even if someone is working 85 percent time, with the remainder of his/her time on a grant or special contract, he or she will not be considered a full-time employee.

Human resource data is updated annually, and an Employee Verification Form is sent to every department to be distributed to employees. The form updates an employee's address, telephone number, highest degree earned, etc. It is used to update the Human Resources Database. However, the form is inconsistently completed. The Verification Forms often reach departments when the faculty are not yet on campus, with the consequence that secretaries will complete the forms. This leads to the secretaries determining the faculty members' status as full or part-time; designations which may be erroneous.

Under the new system to be put in place, mechanisms will be available to more accurately designate faculty status. For example, a flag will be able to designate whether faculty are on full or half-time Sabbaticals and accurately indicate their salary status -- i.e. a 1/2 time Sabbatical at 100 percent salary, or a full Sabbatical at 1/2 salary.

The new system will also be able to indicate individuals (whether holding permanent or temporary status) who have teaching responsibilities -- but teaching is <u>not</u> their primary responsibility. However, if teaching is only an "occasional" activity, even the new system would have difficulty "catching" that and including such people in a faculty count. There is some confusion over the phrase "any instructional duties" contained in the "Instructions for Preparing Lists of Faculty" under the NSOPF study. Does this mean anyone who happens to teach or is it that teaching is part of their regular duties.

Under the new central system, the Human Resources Office will provide more feedback to departments and will provide information on a monthly rather than the current yearly basis. The new system will also contain data from all campuses within the state university system.

Temporary Faculty

There is no way for the institution to know who is temporarily replacing whom in a systematic way. Such information would have to be collected manually. The system, however, can determine part-time/full-time status for temporary faculty, tenure-status, continuing or non-continuing status. Temporary faculty are not included in the official workforce count of this institution. Indeed, state guidelines have specifically instructed the institution to exclude temporary employees from its official workforce count. There are very few people who are temporary faculty.

Visiting faculty, in contradistinction, would be recorded as part of the workforce. On the other hand, the university would have no way to retrieve data indicating whether instruction was provided by independent contractors.

Faculty on leave without pay would be included in reporting to the state higher education commission, but would be excluded from the AAUP survey.

Continuing Education Faculty

Continuing Education Faculty do not go through the Personnel System. If they are already employed by the university as faculty they will show up in the faculty counts; but if they are not faculty otherwise employed by the university, they will not be included in the database and will not be counted. About 20 people would not be counted in the faculty rolls as a result of this process. The whole Continuing Ed program, based on a Winter/Summer demarcation is independent and separate from the university's for-credit offerings and has its own registration.

Timing of Survey

The Office of Institutional Research extracts data files from the Human Resources Office twice a year -- September 30/October 1 for the IPEDS reports, and during the spring for internal reporting purposes. By September 30, it is pretty likely that part-time faculty will be included in the human resources system.

In the Fall of 1996, the institution has reprogrammed its system, now making it difficult for it to meet the IPEDS reporting timeframe. The university is, however, now doing consistency checks of its data.

The Fall semester is the "absolutely busiest time" in terms of complying with reporting responsibilities. The institution has to submit its employee files to the state university central system by November 22; the state university system, in turn, has to submit the system-wide data to the state's higher education commission. It is "very problematical" for the institution to supply data to NCES before November 22nd. Indeed, the period from mid-late December would be a better time. The Spring (starting January) is the best time to do special studies.

It takes parts of 3-4 days to complete the NSOPF.

Specific Questions about NCES Process.

The request to participate in NSOPF now goes to the Chief Administrative Officer. The request should simultaneously be sent to the Director of Institutional Research. In the state, IPEDS reporting is handled by the state higher education commission.

Some small universities have no Office of Institutional Research; different institutions have different processes. Where there is an institutional coordinator, he/she is generally responsible for reporting on personnel.

A 4-6 week time frame for responding to NSOPF would be appropriate.

Instructions
(See also discussion under "specific questions about the institution's process.")

Instructions for Preparing Lists of Faculty

The **definition** of faculty varies across institutions. For example, a number of institutions consider librarians faculty. This institution does not; it considers librarians to be Associate Staff. Professionals who are non-faculty employees are termed Associate Staff; also known as exempt employees. Under this classification, the professional staff of the Office of Institutional Research are also considered. Associate Staff. Clerical, non-professional staff are termed Classified Staff. The third category of staff are Faculty.

Faculty Addresses. The Director of Institutional Research needs authorization to release faculty addresses. The Personnel Office had the authority to release the data. She wasn't sure what obligation the Personnel Office had to the Office of Institutional Research regarding release of faculty addresses.

The faculty address indicates the faculty members' primary departmental affiliation and provides his/her title. The faculty member's academic or teaching discipline is not contained in the system. The institution's phone directory is not prepared until late October.

Number of Lists/Format. The institution prepares only one faculty list. It is easiest to prepare the list on diskette.

Faculty List Documentation Form
This form was fine.

Checklist

Faculty are enumerated according to the EEO code; academic administrators with faculty rank would ordinarily not be included. Most academic administrators did teach, but it would be difficult to determine if they were, indeed, teaching. The system cannot pull up this information.

The issue of faculty chairs should be addressed. At this institution, chairs were considered faculty. Sometimes the chairs are rotated; sometimes individuals are permanent department chairs.

The term "non-instructional personnel" needed clarification. The Director of Institutional Research would use the term research faculty, rather than non-instructional personnel. It is important to differentiate instructional from research personnel.

There needs to be a match between the specifications indicated in the Instructions for Preparing Lists of Faculty and the Checklist *[n.b. the specific language somewhat differs].*

Instructions for Preparing Machine-Readable Lists of Faculty

This form was "pretty clear." The Director of Institutional Research assumes that the lists are to be submitted in the format of left justified in field. The instructions might specifically indicate this.

Institutional Questionnaire

The faculty counts for the Institutional Questionnaire should be collected at the same time as the list collection. The policy questions in the Institutional Questionnaire will be answered by someone other than the Director of Institutional Research; therefore, the policy component of the Institutional Questionnaire could be sent out a different time from the section focusing on the faculty count.

General Observations

Calling the institution prior to sending out the NSOPF would be helpful. Further, having a phone number to call with questions would also be helpful. Interpretation of the questionnaire is an issue, as is finding the time to complete the survey. It is easier to provide a complete faculty list than just particular pieces --such as addresses.

Anything that clarifies who is to be included or excluded in the survey is valuable. A glossary would be helpful in this regard.

NSOPF SITE VISITS

INTERVIEW WITH DIRECTOR OF INSTITUTIONAL RESEARCH and SENIOR AGENCY MANAGEMENT ANALYST

ASSOCIATE OF ARTS (COMMUNITY) COLLEGE

October 10, 1996

Discrepancy: 3.574 (QPCT)
Comments: Selected IPEDS as the most accurate estimate of faculty counts.
For NSOPF-93: The institutional contact was the Dean of Academic Services. The Senior Agency Management Analyst remembered filling out the request.

HIGHLIGHTS

- For both the Director of Institutional Research and the Senior Agency Management Analyst clarity of terms is their greatest difficulty with the NSOPF request. For example, the term "faculty" is clear to both interviewees; the term "instructional staff" is clear to one interviewee and not clear to the other.

- NCES is comparing "apples and bananas" because institutions are not using the same definitions.

- Community colleges differ from other institutions in that they have more adjuncts and no research faculty.

- This institution would need until January or February to provide information on adjunct faculty.

RECOMMENDATIONS

- Both the Director of Institutional Research and the Senior Agency Management Analyst recommend that NCES provide a glossary for clarity and comparability of responses.

- They also recommend that the results of the study be passed back to each of the participants. They believe that institutional coordinators would be motivated to contribute to the NSOPF data collection effort if they knew they would receive the results of the study.

- The Director and Senior Analyst recommend a four-week lead time for the request; and having until January or February to provide complete demographic information on adjuncts.

FINDINGS

Specific Questions about the Institution's Process

This institution has three faculty categories:

- *administrative faculty* -- includes deans, the Institutional Researcher, counselors, librarians (12 month contracts). The only way that the Director of Institutional Research would know if administrative faculty were teaching a particular semester is if he checked against the class assignment list; the information is not available through the database.
- *teaching faculty* -- those on 9 month contracts, and
- *classified staff* -- some may teach -- but teaching is not their main assignment.

"Full-time" is defined as teaching 100 percent of contract. If a faculty member teaches less than 100 percent of contract, she is considered part-time full-time faculty. Both of these categories are considered full-time faculty on the NSOPF, even though part-time full-time employees may be teaching only one class a particular term.

"Part-time/temporary" is defined as adjuncts and semesterlies. Semesterlies, however, are sometimes considered full-time.

The institution has approximately 800-900 adjunct faculty (those who do not have a nine-month contract and benefits), a few semesterly faculty (hired for the semester), and 500-600 full-time (those with a nine-month contract) and part-time full-time faculty (those who teach less than 100 percent of full-time load but maintain full-time status).

The Institutional Research office requests information from the human resources database. Therefore, the only faculty and instructional staff on which the Institutional Research office would have information are those who are in the personnel system and those are personnel who are being paid. The "extended learning" program faculty are the same as the regular faculty and appear in the same database. Staff who teach not-for-credit courses may never be input into the database.

The IPEDS Fall Staff Survey is completed by the staff in the Institutional Research Office, other IPEDS surveys are completed by the state community college system office.

Timing of Survey

The demographic information on adjuncts is not input into the database until the end of December; the information is input by the Office of Human Resources at one time and not on a rolling basis. The payroll file with adjunct faculty names and addresses is available prior to December. The information on adjuncts is not accessible until January or February. Note: this institution filled out the NSOPF-93 list request on March 1st, 1993.

The Director of Institutional Research and the Senior Agency Management Analyst request at least four weeks of lead time for NSOPF.

Specific Questions about NCES Process

This institution prefers to conduct its own sampling of faculty for NSOPF.

Both interviewees recommend that the request to participate in NSOPF be sent to the CAO and to the institutional contact simultaneously. They believe this would save time. "Sometimes we don't get the request until after the due date."

They suggest the most appropriate institutional coordinator to be the previous contact person for NSOPF at the institution or the Director of Institutional Research. They do not recommend using the IPEDS contact because that person may be at the community college system's central office.

Technical Assistance

Both the Director of Institutional Research and the Senior Agency Management Analyst believe the 1-800 number is sufficient for clarification. They do not believe that a call from NCES would be helpful or appreciated. They also recommend providing an e-mail address for requests.

Instructions

Instructions for Preparing Lists of Faculty

Definitions and Categories.
This institution does not have research faculty, acting faculty, faculty with instructional duties outside the United States, or ROTC faculty; they very rarely have visiting faculty.

The Senior Agency Management Analyst does not include instructional assistants in the institution's counts. However, she would include those who set up labs for experiments. She recommends including the term "instructional assistants" as part of the "do not include" category for clarity.

This institution can identify faculty on sabbatical. However, in the past they would not include them as part of the list.

This institution does not have a way of identifying temporary replacements; they would show up as adjuncts on the database and would be counted.

Independent contractors also would not show up in their database.

Faculty Addresses.
Would not provide and did not provide for NSOPF-93 faculty home addresses and telephone numbers.

Discipline
Faculty can only be identified by their primary discipline, which is defined as what the faculty member studied in graduate school. The Department in which faculty teach may differ from their field of discipline.

Race/ethnicity
The Director recommends adding an "other" category under race/ethnicity.

Employee ID
This institution would not provide employee ID numbers because they are social security numbers and are therefore confidential.

Directory
This institution has a faculty telephone book which is updated two times a year. It is usually available in late September.

Faculty List Documentation Form

Both interviewees question why NCES asked for other contact names. They recommend going through the primary data source only.

Questions 2 and 3 confused the interviewees; they were not sure what was meant by, "How many people provided information for the list collection process?" Did this mean all of those who updated the database or just the people in their office who wrote the program?

Checklist

The interviewees do not understand why NCES needs a notarized affidavit.

To the Director and Senior Management Analyst the following categories from the checklist mean the following:

- *Full-time instructional personnel with faculty status:* All 9- and 12-month faculty, including those who may be teaching less than 100 percent of contract.
- *Part-time instructional personnel with faculty status:* Adjuncts.
- *Temporary instructional personnel with faculty status:* Semesterly faculty.
- *Permanent and Temporary personnel who have instructional duties but no faculty status:* They do not know who this would be.
- *Full-time non-instructional personnel with faculty status:* Administrators who have faculty status but may or may not teach (e.g.,. Institutional Researcher).
- *Part-time non instructional personnel with faculty status:* Don't have -- Would put under the first category --full-time less than 100 percent of contract.
- *Temporary non-instructional personnel with faculty status:* Rare.
- *Faculty and other instructional personnel on sabbatical leave:* OK.

Instructions for Preparing Machine-Readable Lists of Faculty

The interviewees find the Instructions for Preparing Machine-Readable Lists of Faculty clear.

This institution can provide information either on tape or diskette.

The institution can provide one master list.

Institutional Questionnaire

The Director and Senior Analyst suspect that timing may have been a factor contributing to the institutional discrepancies. If institutions don't use a census date (Dec. 1st), then counts fluctuate because the file is dynamic.

They recommend that the Institutional Questionnaire and the list request be sent at the same time. Other alternatives would be for institutions to use their census date, or for NCES to ask institutions to freeze their file as of a certain date in order to get identical counts.

Other

One of the interviewees thought that NSOPF was called the NORC survey in 1993.

During the entire Fall term, the Institutional Research Office is "inundated with survey requests."

General Observations

Both the Director of Institutional Research and the Senior Agency Management Analyst find clarity to be their greatest problem in completing the NSOPF request. They recommend that NCES provide a glossary. The term "faculty" is clear; the term "instructional staff" is clear to one interviewee and not clear to the other; she is not sure if she should interpret the term more narrowly as faculty only, or more broadly as those who aid the instructional effort (e.g., she would then include departmental secretaries in the counts.)

The Director of Institutional Research is concerned that NCES is comparing "apples and bananas" because institutions are not using the same definitions.

The Director of Institutional Research and Senior Management Analyst would like parameters for "full-time" and "part-time." They could adjust their database to meet the set definitions (e.g., 15 credits for the fall semester or 30 credits a year for full-time.) They currently provide information according to their institution's definition. Adjusting definitions, however, would require more time to fulfill the request. Note: some disciplines (e.g., physical education) do not teach 15 credits; their full load is 10-12 credits a semester.

The Director of Institutional Research believes that community colleges are different from other institutions in that they have more adjuncts and no research faculty.

The respondents are frustrated because they fill out surveys, but never hear about the results. They believe that it would motivate the Institutional Coordinator, if he or she would receive information from NCES about the results of the study.

NSOPF SITE VISITS

INTERVIEW WITH THE DIRECTOR OF HUMAN RESOURCES

ASSOCIATE OF ARTS (COMMUNITY) COLLEGE

October 16, 1996

Discrepancy: 154.5 (QPCT)
Comments: Error in number of part-time faculty.
For NSOPF-93: At the time of the NSOPF-93 the interviewee did not hold the position of Director of Human Resources, however, the then Acting Director of Human Resources served as the institutional coordinator.

HIGHLIGHTS

- The Director of Human Resources believes that their institution's NSOPF-93 discrepancy may have been caused by inexperience. An Acting Director of Human Resources, who was a faculty member, may not have been aware or had access to a complete of adjunct faculty lists at the time of the faculty list collection or the institution questionnaire. Also, she indicates access to the adjunct "database" only happened in the last 12-18 months which may have been why there was yet another number provided for part-time faculty at the recontact stage.

- The Director of Human Resources believes that a challenge to all institutions regarding the NSOPF is to find the time in their schedule to complete the request.

- When reviewing the NSOPF request, the Director of Human Resources read the glossary in the Institutional Questionnaire with the categories on the Instructions for Preparing Lists of Faculty in order to get as much guidance from the NCES materials as possible. She said it takes time to determine what NCES wants. She viewed having to make calls to the 1-800 number for clarification as a step that should ideally be unnecessary.

- Currently this institution's database cannot distinguish between those who teach non-credit and for-credit courses.

- At this community college some NSOPF categories, such as research faculty, visiting faculty, overseas faculty, full-time non-instructional personnel with faculty status, do not apply

- Because this institution is small and has only 130 full-time faculty and approximately 200-300 adjunct faculty, it can easily manually manipulate the database to select out categories of faculty and instructional staff that NCES does not want to count.

- This institution is moving to a more integrated computerized database developed in-house. They hope to have it operational in by the end of the year.

- Determining faculty status is not a particularly difficult issue at this institution, as it does not grant faculty tenure.

RECOMMENDATIONS

- The Director of Human Resources suggests that "definitions would be extremely helpful." NCES should provide as much information as possible to clarify the NSOPF request. She recommends having a benchmark, "so that the person who is completing the request knows what you are operating from." She feels that the terms used in the instructions were confusing and that it was important to have them clarified.

- The Director recommends six weeks of lead time for the NSOPF request.

- The Director also recommends that home addresses, home phone numbers, and employee ID numbers (social security numbers) not be requested. She questioned why this information was necessary.

- The Director recommends an e-mail address for inquiries in addition to an 800 number.

FINDINGS

The Director of Human Resources began our discussion by providing NCES with a better understanding of the problems this institution encounters as a community college subject to state personnel rules and procedures as well as oversight by a private agency run by the college's Governing Board. The state General Assembly recently passed a new personnel law, which should "recreate" and streamline personnel, to which the college will have to adjust over the next two years. This new law does not affect faculty and instructional staff.

Specific Questions about the Institution's Process

The institution is in the process of obtaining an automated database. The current database is out-moded. The new system will allow the office to track applicants and obtain up-to-date payroll information.

The Human Resources Office is the appropriate contact office for the NSOPF request. Staff within that office handles all permanent employees of the college and would have the most up-to-date information on faculty and staff.

The institution currently has between 125-130 full-time faculty. They also have a large contingent of adjunct faculty (approximately 200-300) who primarily serve adult students. The adjunct faculty also includes contractual instructors who may teach short-term courses. The database does not distinguish adjunct faculty who teach for-credit versus not-for-credit courses. "Adjuncts" and "part-time faculty" are equivalent at this institution.

The database on adjuncts is kept separately from that of full-time faculty, although the institution uses one software package, Reflections, for both. The Human Resources staff asks the computer center for programs to be run against both databases. The Human Resources Director was not sure if her institution can provide a list on diskette; although she thinks they probably can. The office is currently in the process of updating its personnel database which will include contractual information, and will use class and title codes. This is a system developed in-house -- "Automated Contractual Hiring System" The updating is expected to be completed by December 1996.

According to the Director of Human Resources, the institution receives few survey requests -- those surveys it does receive include requests from CUPA, community college colleagues, the state, and commercial organizations.

Faculty at this institution do not have tenure. Faculty sign contracts for three years, and their appointments are renewed on an annual basis.

The institution has four types of employees: faculty, administrative staff (under the independent personnel system), support staff (under the state personnel management system), and contractual.

Classification of Faculty

The institution defines faculty as full-time if they teach 15 or more credits a semester as well as fulfilling other job-related requirements (e.g., holding office hours). Part-time is defined as, not-permanent faculty teaching less than 15 credits per semester.

The institution may have a few instructional staff that do not have faculty status who teach in the remedial program (non-degree).

At this institution, most administrators do not have faculty status unless they are in transition to an administrative position.

Timing of Survey

The Director of Human Resources said that she would have access to a complete list of full-time faculty on August 15th. The office would have a comprehensive list of adjunct/part-time faculty by October 31st.

It would take three to five days to run the list collection program; however the Director of Human Resources would like three weeks to fulfill the request.

Specific Questions about NCES Process

The Director of Human Resources believes that the 1-800 number is "great;" she does not think other technical assistance is necessary. She would also recommend an e-mail address for inquiries.

The Director of Human Resources believes that the NSOPF request is best sent directly to the contact rather than to the CAO. She estimates that she loses three to five days if the request is forwarded from the CAO's office. She believes there are no protocol considerations.

In response to her reaction to NCES going to Department Chairs instead for faculty lists, she felt that would not be a good idea. Each Department would have a different interpretation of what the instructions meant, whereas if one office was doing it at least there would be a consistent interpretation across the institution.

Instructions

Instructions for Preparing Lists of Faculty

Definitions.

The Director of Human Resources was familiar with the terms used in the instructions, however suggested that providing examples would help.

The research category does not apply to this community college.
The visiting faculty category does not apply to this community college.
This institution has very few faculty on sabbatical.
It does not have any faculty overseas.

The institution uses independent contractors -- currently, the institution would have to manually exclude them from the list, but it is now in the process of computerizing this information.

Because the community college is such a small institution, the Human Resources office could separate out temporary replacements and temporary personnel. These groups, however, are not identified separately in the database.

The Director of Human Resources would like to have definitions for the "terms of art" used, so that institutional usage would be consistent. She could then initially determine whom to include on the list. She would find results derived from NCES research more useful if consistent definitions were used across institutions.

Faculty Addresses.

The Director of Human Resources would need to double check with the institution's Legal Counsel if she could provide home addresses and telephone numbers of faculty.

Currently, the institution is in the process of creating employee ID numbers that are different from the social security numbers because of confidentiality issues.

Directory

Published every two years; lists full-time faculty.

Faculty List Documentation Form

The Director of Human Resources questions why NCES asked for contact names. She does not believe listing people would be helpful in answering questions, because she would "clean up" the list to meet the needs of the request after she received data from her contacts.

Checklist

The institution does not have full-time non-instructional personnel with faculty status.

Permanent may be a misnomer at this institution, because all of the faculty are on a contractual basis.

Instructions for Preparing Machine-Readable Lists of Faculty

The Director questions the legality of asking about home addresses, home telephone numbers, and social security numbers.

Institution Questionnaire

The Director does not have any problems with these categories. She would have included adjuncts under part-time faculty. The category, part-time non-instructional faculty, would not apply to this institution.

General Observations

The Director of Human Resources believes that their institution's NSOPF-93 discrepancy may have been caused by inexperience. An Acting Director of Human Resources, who was a faculty member, may not have been aware or had access to a complete of adjunct faculty lists at the time of the faculty list collection or the institution questionnaire. Also, she indicates access to the adjunct "database" only happened in the last 12-18 months which may have been why there was yet another number provided for part-time faculty at the recontact stage.

She believes that a challenge to all institutions regarding the NSOPF, is to find the time in their schedule to complete the request.

The Director suggests that "the definitions would be extremely helpful." She recommended having a benchmark, "so that the person who is completing the request knows what you are operating from." She feels that the terms of art (e.g. permanent, instructional, etc.) were confusing and that it was important to have them clarified.

The Director also recommends additional lead time for the NSOPF request of approximately six weeks.

When reviewing the NSOPF request, the Director of Human Resources balanced the glossary in the institutional survey with the categories in the faculty list instructions in order to get a hold on who NCES wanted. She believes it takes extra time to figure out what NCES wants. She recommends providing as much information in one place as possible. She views calling the 1-800 number as taking extra time as well.

The Director of Human Resources also recommends not including home addresses, home phone numbers, and employee ID numbers (if social security number). She questions why this information is necessary.

NSOPF SITE VISITS

INTERVIEW WITH THE VICE PROVOST FOR ACADEMIC PLANNING AND BUDGET AND THE SENIOR DIRECTOR OF BENEFITS ADMINISTRATION

RESEARCH UNIVERSITY I (with schools of medicine, engineering, continuing studies, other schools, and off-campus centers)

October 18, 1996

Discrepancy: 4.941 (QPCT)
Comments: Not selected for re-contact on grounds of discrepancy, but included because of presence of health science faculty; institution confirmed QUEX counts correct.
For NSOPF-93: The interviewees were the same two individuals who responded to the Institution Questionnaire.

HIGHLIGHTS

- The vast majority of this university's faculty both teach and do research; the university does not separate faculty responsibilities into instruction and research components.

- Administrators at this institution have faculty status, but the university's coding system does not allow for the inclusion of dual categories such as Dean/Professor. The institution does not plan to modify or replace the existing system.

- It is very difficult to determine who is serving as a temporary replacement for whom.

- The use of part-time faculty is emerging as a significant issue at this institution as in other institutions across the United States.

RECOMMENDATIONS

- It is critical that NCES, itself, have a clear focus on what information it wishes to know and why. In its cover letter to CAOs and Institutional Officials, NCES should clearly explain the purpose of the survey and what it seeks to learn. In the instructions NCES provides to respondents for preparing faculty lists, logical clarity, and consistency are crucial.

- A Glossary should be included as part of the Instructions. It should include a definition of full-time, part-time, permanent and temporary faculty. The glossary should also indicate that if an institution's definitions differ from those presented in the glossary, the institutional respondent should write in the institution's definitions and respond to the survey employing the institution's definitions.

- NCES might consider including more open-ended questions to institutional respondents, first eliciting their experience in a particular area which they would then be asked to substantiate with data they deemed of significance.

- The Instructions should include a general category called "faculty" specifying in parentheses "who do both instruction and research" with sub-categories for faculty who do instruction only or research only. This would replace the two bullets that ask separately for faculty involved in instruction or research.

- Under the categories "full-time" and part-time" have the sub-categories "temporary" and "permanent" if this is of specific interest to NCES and the reason for devoting specific attention to this is explained.

- Define clearly what "any instructional duties" means.

FINDINGS

Specific Questions about the Institution's Process

The place of part-time faculty in the university is emerging as an issue. This institution is heavily involved in part-time education. Part-time faculty teach in part-time, for-credit programs such as Masters Degree Programs in Public Health and Engineering. It would be instructive to know if full-time/part time faculty are doing their primary work in full-time or part-time programs. Urban academic institutions are thinking more seriously about involving themselves in part-time education on the Masters level. Today, some 40-45 percent of all the 14 million students at all levels in American colleges and universities are enrolled in part-time education.

At this institution, 90 percent of part-time students enrolled in part-time programs are enrolled in for-credit Masters' Degree Programs. In the Masters' Degree Programs in the School of Engineering, for example, courses are offered in satellite facilities away from the main campus. Students take courses in the evenings, generally no more than two courses a semester, for an average of six years to complete the Master's Degree.

Issues of increasing interest to the university are the questions of the level of federal funding for research, and faculty adaptation to the application of information technology.

Faculty/student ratios often do not tell very much and can be misleading. An average masks the spread from large introductory lecture classes to advanced seminars with a small number of students.

Different institutions have different norms concerning the division of faculty time between teaching and research. At this institution, the time spent by faculty on teaching and research is about 50/50 in Arts and Sciences. Any single faculty member will always deviate from the norm. At other institutions with other priorities, the weighting will differ with faculty, for example, spending the majority of their time teaching.

The Medical School

It is difficult to get faculty counts for the Medical School. There are some 2,200-2,400 full-time faculty at the university; approximately half of this number are Medical School faculty. This is the number (i.e. 1,200-1,400) ordinarily used by the university in indicating the faculty count at the Medical School. However, the Dean of the School of Medicine will give a faculty count of between 2,500-3,000 for the Medical School. The people included in his tally include adjunct affiliate appointments -- physicians in the area seeking the "cachet" of the affiliation with this university. . These people are involved in Medical School activities such as participation in rounds and other forms of teaching medical students and post-docs. The Dean of the Medical School could probably provide a list of the adjunct, affiliated faculty although the university did not request such a list when responding to the '93 NSOPF faculty list request.

These adjunct affiliated physicians, however, are not paid by the university and consequently do not appear in its database, nor are they counted as faculty in any surveys completed by the university. The university will count as its faculty members only those whom it pays. The criterion defining inclusion in the university's database is payment by the university.

School of Continuing Studies

Students in the School of Continuing Studies are enrolled in part-time programs. The programs offered are both for-credit and non-credit. The non-credit programs are fairly extensive. Faculty in the program are both full-time university faculty, as well as part-time faculty. The university would not be interested in the number of people teaching

non-credit courses, but community colleges might be interested in this information. If the only courses (whether for-credit or non-credit) that part-time faculty are teaching are in the School of Continuing Studies, these men and women will be coded as limited time. Often teaching one semester on/one semester off, they would generally be excluded from the overall university faculty count. This, however, would be a small number of people If, however, they are teaching in another component of the university, they would be included in the faculty count.

The university database is able to indicate which faculty are teaching only non-credit courses, or teaching both for-credit and non-credit courses. This information is found in the same database under different codes. Most of the part-time faculty are in the for-credit programs.

Timing of Survey

By September 30, the university has available a comprehensive list of faculty. The nature of the survey would determine when the university data would be ready. From four to six weeks would be the desirable "lead time" for compiling the list. Six weeks would be optimum. Too much lead time would result in the administration putting aside the request and wasting time. Hence, it is best to have a deadline that is neither too tight nor too loose.

Specific questions about NCES Process

The initial request to participate in NSOPF should be sent to the Office of the President or Chief Administrative Officer of the academic institution. The President would then send the letter on to the appropriate office. Sending a copy of this letter to the Director of Institutional Research or Human Resources Director would probably result in that person receiving two copies of the letter -- the one forwarded by the President, and the second directly received by him or her. It would be most useful in the original letter to the CAO or president to indicate the type of survey involved -- the President would then know to which office the letter should be forwarded, e.g. Human Resources or the Office of the Provost.

The Vice-Provost for Academic Planning and Budget suggested eliminating the terms "instructional and non-instructional" in the letters to the CAO and Institutional Official concerning their institution's participation in NSOPF. He proposed simply using the term "faculty" in the sentence that read, in part, "NSOPF-93 will provide a profile of faculty...and will gather information on the backgrounds, responsibilities, workloads, salaries, benefits, and attitudes of both full-and part-time faculty. With regard to the letter to the Institutional Official, the Vice-Provost wondered why NCES asked the Institutional Official to "please sign and notarize the enclosed NCES Affidavit of Nondisclosure..."

Instructions

Instructions for Preparing Lists of Faculty

Is the survey interested in professional schools, as well as the College of Arts and Sciences? Some 75 percent of the surveys received by this institution focus on comparisons of Colleges of Arts and Sciences. It is important to indicate the focus of the survey and its purpose.

A Glossary should be included in the Instructions. The definitions set forth in the glossary clarify for the respondent what the survey is looking for. The terms to be listed in the glossary should include definitions of full-time and part-time faculty, temporary and permanent faculty. The instructions should state that if an institution's definitions are different from those indicated in the glossary, than the institution's definitions should be written in and used to respond to the questions.

Categorization of regular assignments. At this major American research university, recognized internationally for the caliber of its research in a wide range of fields, faculty are not designated as being solely instructional or research. Faculty do both as a matter of course at this institution (at least 75 percent of the entire faculty at this institutions) and this is probably the case at other research institutions.

Most useful for this university, and probably for a number of universities like it, in completing NCES' Instructions for Preparing Lists of Faculty, would be a category for faculty "whose regular assignment includes instruction and research." Under this general category, there could then be sub-categories for those faculty who only do research, or who only instruct. This category and related sub-categories would replace the existing two separate bullets for "instruction" and "only research." These sub-categories would accommodate institutions whose faculty only provided instruction, or only conducted research.

The survey's request for indicating "permanent and temporary personnel who have **any** instructional duties," could lead to some confusion on the part of university respondents. Did the survey mean for institutions to include under this item non-faculty people with instructional duties? Instances of a university office of training for secretaries and administrative assistants on how to do budgets, etc. could fall under this category. Athletic coaches could conceivably fall under this designation, as well. Again, it is important to indicate what the survey is looking for.

At this university, librarians are not considered faculty. They teach courses orienting students to the use of libraries, but that is the extent of their instructional role. They are considered staff. Other institutions, however, may give librarians a more formal teaching role under which they teach research methodology courses.

There are no more than a dozen people at this institution who perform an instructional role but are not faculty. This would total a fraction of one percent.

Full time/part time. These terms/categories should be kept consistent throughout the faculty list instructions. Academic institutions can have temporary full-time faculty and permanent part-time faculty. Under the general categories full time/part time, the survey could indicate the categories permanent and temporary, if NCES were interested in examining this type of data.

At this institution, full-time faculty are defined as 75 percent or more time. If the categorization of part-time is not that of the university, it would be difficult to pick up this particular group of faculty for the NCES faculty-lists.

The emergence of part-time faculty is related to the growth of part-time education. It would be valuable to learn which of the full-time vs. part-time faculty are doing their main work in part-time vs. full-time programs.

Sabbatical leave. There are seven academic divisions or schools at this university. Not all schools at this institution have sabbatical leave policies. The Medical School, for example, does not have sabbatical leave.

Administrators and all other personnel who have faculty status. Presidents, Provosts, and Deans typically have faculty status. However, under the university's personnel system, people cannot be classified according to this dual status; they are entered under only one category. For example, faculty at this institution are coded as 1, the Office of the Dean as 2, managers as 3, and staff as 4. The university does not intend to institute a new human resources coding system to enable such dual positions to be automatically retrievable. Senior university officials, however, could provide a count of the number of administrators also holding faculty status.

Why, however, was it important for the NCES survey to know how many university officers and administrators also had faculty status? This would assume importance as a survey question because NCES was attempting to do a comparison across types of universities on this issue.

There are 60 Dean-level positions at this institution; 40 of this number also hold a faculty appointment. But no data category would capture this. The Vice Provost, himself, could indicate on a list which administrators held faculty appointments. Only "a couple" of these people actually teach. Although most new deans assume their positions with the expectation of conducting research or teaching, they generally have time to do neither.

Temporary replacements. It is very difficult to determine the identity of temporary replacements for faculty. It is simple enough to get a list of faculty on

sabbatical. But the university as a whole does not need to know specifically who is temporarily replacing whom. Such information would be handled at the department level. In any event, temporary replacements are a very small number. A survey finding indicating a trend in growth of temporary faculty at U.S. universities, as contrasted with part-time faculty would be surprising.

To gain insight into the impact of temporary faculty on the overall faculty count at an institution, NCES could ask open-ended questions. It could inquire as to institutions' experience in this area, and ask the respondent to support the response with data. NCES could look for qualitative indicators and ask if the institution has made "a lot/a little" use of temporary faculty. Responses to such questions would indicate to NCES whether the use of temporary faculty was significant and should be pursued in a future study. The Vice Provost did not believe that the use of temporary faculty was on the rise.

Academic, teaching discipline. While all institutions, including this one, have data on faculty department or program affiliation, this institution does not have data elements on faculty academic or teaching discipline.

Faculty IDs and addresses. The university does not ordinarily give out lists with faculty campus and home addresses, telephone numbers, and social security numbers. This is because of a concern for confidentiality, and to prevent unwanted solicitations of faculty at their offices or homes. The Senior Director of Benefits Administration would only release such information with the explicit approval of someone at the level of the Vice-Provost for Academic Planning and Budget.

Faculty List Documentation Form

It is best to list the Vice Provost as the central contact person. Having one central contact person is valuable for in the event that questions arise, he or she can then direct the questioner to the appropriate individuals.

Checklist

Why did NCES want a notarized affidavit from the Institutional Coordinator? Is there a legal reason? The university did not designate faculty as "instructional/ non-instructional." In the School of Continuing Studies part-time faculty performed only instructional duties. But in terms of the main line Arts and Sciences Faculty, the distinction would be meaningless,

If NCES did not specifically ask that instructors (such as people who teach language-labs) be included in the faculty list, this university would not include them. These people are not tenure track, and they do not generally do research. They fulfill an absolutely essential role in the university, but they tend to skew the

numbers if it's not clear why they are to be included. If the NSOPF had a category of people who did only "instruction," than he would include people like language-lab instructors.

Instructions for Preparing Machine-Readable Lists of Faculty

The university can provide faculty lists in any number of formats -- on computer tape or on floppy disk.

NSOPF SITE VISITS

INTERVIEW WITH THE DIRECTOR OF UNIVERSITY PLANNING AND RESEARCH

DOCTORAL UNIVERSITY I

October 28, 1996

Discrepancy: -30.897 (QPCT)
Comments: List data included faculty and instructional staff for the entire year and not just for the Fall term.
For NSOPF-93: A research analyst from the Office of Institutional Research filled out the NSOPF-93 request.

HIGHLIGHTS

- To complete the NSOPF request, the Director of Institutional Research would rely on information from the payroll and the human resources systems (two different offices). She would double-check to make sure that all full-time faculty are included by looking at the position control system data, which is in the Budget Office. If there are discrepancies, she would then call the Department Chairs for an explanation.

- The Director of Institutional Research feels strongly that Department Chairs should not be the source of faculty lists.

- The university does not have the funds to purchase an integrated data system from a vendor such as BANNER or SCT, but they are trying to make their various systems mesh better through a combination of vendor and in-house developed products.

- The institution's database does not separate undergraduate faculty from graduate faculty. The law school faculty are part of the same database, although the school is located on a different campus.

- The Director of Institutional Research believes that her office could provide a comprehensive list of faculty and instructional staff by December 1st. The Director prefers receiving the NSOPF request at the end of August, so that she can schedule the request at the beginning of the term.

- The Director of Institutional Research prefers that the NSOPF request go through the CAO in order to have his approval and stresses the importance of picking an

appropriate institutional coordinator, either the Institutional Researcher or the IPEDS coordinator.

- The Director wants more clarification of terms used, such as full-time and part-time, and is unclear whether to include librarians, faculty on disability leave, visiting appointments, post-docs, professional school faculty, and scholars-in-residence. She is also confused by the data element *Academic and Teaching Discipline*. She wonders why NCES needs something beyond *Department/Program Affiliation*.

- The Director of Institutional Research finds the NSOPF request burdensome. She believes that NCES is not fully appreciative of the level of effort required to complete the request, especially if the responding institution does not have an integrated database.

RECOMMENDATIONS

- The Director of Institutional Research recommends that the letter requesting participation in NSOPF be addressed to the CAO with a copy sent to the Institutional Researcher.

- The Director of Institutional Research recommends using an e-mail address for technical assistance inquiries.

- The Director recommends that NSOPF include a glossary. She prefers that NCES use the IPEDS definitions, and add or delete other categories. If terms used are different than the proposed definitions in the glossary, she recommends adding a line for the institution to write in its definitions.

- The Director of Institutional Research recommends that the categories be consistent in all the forms -- Instructions, Checklist, and Institution Questionnaire.

- The Director recommends that NCES specify that the same person complete both the list request and the Institution Questionnaire.

- The Director of Institutional Research recommends that the due date for the NSOPF List Collection request be late enough in the semester, around December 1st, so that it does not conflict with other work responsibilities during the busy Fall term, and the institution can provide comprehensive lists.

- The Director recommends that NCES be aware of the NSOPF burden and be willing to accept data in different formats.

- The Director recommends that NCES discuss NSOPF issues with the AIR leadership and committees (e.g., higher education data policy committee) that deal with survey issues.

FINDINGS

Specific Questions about the Institution's Process

The Director of Institutional Research began the discussion by mentioning that in contrast to the President and other senior administrators, the staff of the Institutional Research Office has relatively little turnover. At this university, the President and senior administrators have changed in the last few years. Deans also have a higher turnover than the Institutional Research staff.

The Director of Institutional Research feels strongly that Department Chairs should not be the source of faculty lists. She believes that because they are focused on providing education to the students and not on administrative details, lists provided by Department Chairs may not include administrative faculty who do not teach, or those faculty that teach in a department other than the department of which they are a member (e.g., someone from the Education Department assigned to the Physical Education Department.)

This university has rotating Chairs. Most Chairs receive a stipend to do administrative work for a period of time. Each Department has different ways of choosing Chairs and different rotation cycles.

The Director of Institutional Research does not believe that Deans would complete the NSOPF request. She thinks the request would end up on the desk of the Assistant Dean and then probably be forwarded to a secretary or clerk. She also believes that the counts from a central office such as the Office of University Planning and Research would be more accurate. This university's policy is to have surveys go to the Institutional Research Office. Partly because of articles, such as those published in US News and World Report that rate colleges and universities, more institutions are creating a central location for survey requests so that an accurate portrayal of the university is presented.

There is no central data source of data within the university, although the Director of Institutional Research believes there ideally should be. She ventured to guess that unintegrated systems are probably the norm in the field, with the possible exception of community colleges that are less than 20 years-old. This university is over 100 years old; she states that "Systems have been developed over different time periods and have been fit together to work. You can't necessarily assume that everything is linked together."

The Director of Institutional Research obtains information from more than one source. Part of the research staff's job is to check the accuracy of the data and link data received from different systems. To complete the NSOPF request, the Director of Institutional Research would rely primarily on information from the payroll and the human resources systems (two different offices). She would make sure that all full-time faculty are included by checking against the position control system data stored in the Budget Office. If there are discrepancies, she would then call the Department Chairs for an explanation.

According to the Director of Institutional Research, the payroll system is usually accurate. The demographic information that needs to be linked to the payroll data is found in the human resources system. The university is currently working to integrate these two systems into one.

The Office of Institutional Research has had "a lot of problems in the last few years with the information coming directly from human resources." Because of turnover in human resources staff, there have been problems with the accuracy and compatibility of the data human resources produces. The Human Resources Office also kept separate systems on PC based platforms, which were not always updated at the same time as the data on the payroll mainframe system.

The Institutional Research Office asks for a download of information on a request-by-request basis. They may or may not be able to recreate old data. The school's census data, as of the fifth week of the term (around the first week of October), contains information on students only -- not faculty. The university does not have a data warehouse; they do not take snapshot of a semester and store it historically.

This university does not have the funds to purchase an integrated system from BANNER or SCT, so they are trying to make their systems mesh better through a combination of vendor systems and in-house work. The time frame for completion depends on resources. Priority goes to serving students and alumni through the transmission of information from admissions, to the registrar's office, and then to alumni relations.

The university has full-time and adjunct/part-time faculty. Full-time faculty are classified as permanent or temporary. Permanent means tenured or tenure-track. Temporary faculty, who are an increasingly larger group of people, are not tenure-track.

The institution's database does not separate undergraduate faculty from graduate faculty. Although the law school is located on a different campus, the law school faculty are part of the same database.

This institution is on a semester system.

The Director of Institutional Research requests that NSOPF be as little of a burden as possible. She feels the office is inundated with requests; "ever more stuff is coming at us from these places." The office completes the HERI Faculty Survey, AAUP Faculty

Salary Survey, CUPA Survey, IPEDS Faculty Survey, and the Faculty Workload Survey from the University of Delaware. She says that the CUPA (annual) and IPEDS Surveys "in some sense duplicate each other tremendously."

The Director of Institutional Research feels that it is best to request and obtain faculty lists, and send out faculty questionnaires in the same semester. She realizes this requires a difficult balance between obtaining complete lists for a term and surveying the sample chosen during that term. For the HERI survey, the Office of Institutional Research prepared the cover letter which included an endorsement from the Provost encouraging faculty to complete it, and mailed the survey to faculty. The institution also was able to add local-option questions. It was a two-wave mailing sent out in November and January. The university had problems with the second wave mailing, because some faculty were no longer in residence, and others wanted to know why they were not included.

HERI provides participating institutions with a tape of survey results. The data do not allow for individual identification, but provide results by school and college within the institution. She said the university could "actually do something with the data." She would like to receive NCES public-use data as part of the NSOPF process.

The Office of Institutional Research has been restructured since the last NSOPF. The Office is now under the direction of the Provost, as is the Dean of Faculties. The Office was previously under the direction of the Advancement Vice President, who also directed Admissions and Athletics.

Data on faculty teaching not-for-credit continuing education courses are located in a different database.

The university has a special Washington Semester Program made up of visiting students and visiting faculty. The visiting faculty members would be included on the NSOPF list.

The Director of Institutional Research does not personally complete IPEDS, but the work is done in her office.

Timing of Survey

According to the Director of Institutional Research, defining the Fall term as the term that includes October 15th is fine. The Director cautions NCES that different institutions have different terms: quarters, trimesters, and semesters. Note: The Director initially incorrectly read the October 15th date as the date for which to provide the counts of faculty.

The Director believes that the later in the term NCES requests faculty counts, the more accurate the numbers NCES receives will be. IPEDS uses the dates October 15th and November 15th. Some institutions may have classes that start in November. The

Director believes that her office could provide a comprehensive list by December 1st, and probably a list of full-time faculty before that.

Because her office is small for a university of 12,000 students, having only four full-time and two part-time staff, and because the Fall term is a busy one, the Director prefers receiving the NSOPF request by the end of August, so that she can schedule the work at the beginning of the term.

Specific Questions about NCES Process

The Director says that the NSOPF request needs to go through the CAO in order to have his approval. She recommends that the letter be addressed to the CAO and a copy sent to the Institutional Researcher. If she would know that the NSOPF request has been sent to the CAO, she could prod the CAO's Office to act on it. She also cautions that at small institutions, institutional research responsibilities may be handled by the registrar's office or by a part-time faculty member.

She stresses the importance of picking an appropriate institutional coordinator. She recommends first asking the CAO for a contact name and then sending the information to that contact; she is concerned that packets may get lost in the CAO's office. She also recommends proactive telephone follow-up if NCES does not hear from the CAO's office.

The Director of Institutional Research does not believe that it would be simpler for the university to choose the NSOPF faculty sample. She does not believe this would alleviate the burden in her case, but might for institutions that have integrated systems.

Technical Assistance

The Director of Institutional Research recommends using an e-mail address. She thinks it is a better technical assistance method than the 800-number.

Instructions

After reviewing the categories, the Director of Institutional Research interpreted the instructions to cover the following universe: "...every person who is teaching, or doing research, who is considered a faculty appointment for the term, whether that is permanent or temporary, except for the ones that are excluded." She feels that "reminders and explanations are not bad; they help you flush out something," but believes that it is also important to have an introduction that outlines the purpose and parameters of the study. She recommends to "start out with...a general statement to say, we want all persons who are employed by your institution as regular or visiting faculty members in a particular term."

Instructions for Preparing Lists of Faculty

Definitions

- She is unclear whether to include librarians. At this institution they have faculty-type appointments.
- She is not sure whether to include people on "disability leave."
- She mentions that temporary replacements often do not replace faculty on sabbatical one-to-one; several people may take over one person's teaching load.
- She is also unclear about visiting appointments, scholars-in-residence -- after looking at the categories, she feels that NCES "probably wanted them." She suggests calling visiting appointments, "one-semester only appointments."
- She says that NCES should be "more explicit about what you mean by terms, even a glossary. The IPEDS people did this a few years ago."
- When asked whether a glossary would be burdensome to institutions that use different definitions, she says that NCES would need to "find the right balance." She suggests the following definition of full-time employment, "if the person has a full-time permanent contract." She does not think NCES wants to get into defining part-time and full-time by credit-load. At this institution, "full-time is someone who is appointed to the full-time faculty."
- From the "do not include" list, she assumes NCES does not want graduate students who are teaching. She isn't sure, however, whether to include post-docs. At this university they would probably be included as "temporary faculty."
- She prefers that NCES use the IPEDS definitions, and add or delete other categories of faculty and instructional staff. For the NSOPF-93 list collection, this university used the IPEDS definitions and added full-time temporary and full-time visiting faculty.
- She would include the law school faculty, but said that based on the Instructions it was not explicit to do so. Law schools are "often seen as their own little world." The law school is not located on the main campus, but the faculty appears on the same database. She believes that law school faculty salary levels would skew the results of a salary survey.
- She recommends adding a line for the institution to write in their definition of terms if the terms they employed differ from the definitions in a glossary.
- She believes that the term "instructional staff" works. She interprets it as those who do not have faculty status but teach. At this university, this category includes ESL teachers, other foreign language instructors, and basic math skill instructors, who teach classes that may or may not be for academic credit. They are usually coded in the "professional staff" category.

Data Items

- *Name* -- OK
- *Campus Address and Telephone Number* -- The address and telephone numbers may not be in the same place, but essentially this category presents no problems.

- *Home Address and Telephone Number* -- The University usually has home addresses but may not have telephone numbers; no other survey in which her institution participates is sent to faculty home addresses.
- *Department Affiliation* -- OK;
- *Academic and Teaching Discipline* -- "That's a problem. What do you mean by that? Do you really need to have anything other than where their appointment is?" There may be difficulties with dual contracts because they don't always have primary designation. She also is unsure whether NCES wants sub-discipline or sub-Department? She asked, "What about people who are teaching classics and American literature? Do you make them a generalist?" She ultimately concludes, "if you are not going to use this, then don't include it."

Faculty List Documentation Form

The Director of Institutional Research does not have any comments on this form.

Checklist

The Director of Institutional Research would like the categories to be the same as those on the first page of the Instructions. She says she would complete the request from the first page of instructions and would only look at the Checklist after she completes the computer runs. She says she would be frustrated, "it would drive me nuts," to get to the Checklist and see different categories.

Instructions for Preparing Machine-Readable Lists of Faculty

The Director of Institutional Research feels that she is being told to do things the way NCES wants. "We want you to do it our way" is what the form said to her. She recommends that it would be better to say, "Do it the way you normally do it, then tell us how you did it." She likes the first form, Instructions for Preparing Lists of Faculty, because she feels that in this form NCES would accept any format that the university would be able to offer (e.g., "If this information is not available on a single master list, please submit all applicable lists. Indicate how many lists are being submitted in item [4] of the Faculty List Documentation Form.") She feels that two different messages are being sent -- "user-friendly" on first page of Instructions for Preparing Lists of Faculty in contrast to "directive" in the Instructions for Preparing Machine-Readable Lists of Faculty.

The NSOPF list collection effort is perceived by the Director of Institutional Research as an intensive effort. To fulfill the NSOPF list collection request, this university's institutional research staff would need to match and merge different data files at the university. The burden issue is one of great significance to this interviewee who has the impression that NCES neither understands this problem nor the constraints Institutional Research Directors face because of the variety of different database formats. Her overall opinion of the instructions and forms is the following: "If you have a single database then the Instructions probably are not a problem. Those who deal with multiple databases

find this effort burdensome and the format difficult to work with." She recommends that NCES be aware of these differences and adjust to them.

This Director of Institutional Research would be able to use either Lotus or Excel format. She could provide the data on a diskette.

Institution Questionnaire

She recommends that NCES specify that the same person complete both the list request and the Institution Questionnaire. With the current instructions, the Questionnaire may go to the Dean of Faculty, who may not interpret the definitions in the same way as the Office of Institutional Research.

Because it is difficult for this institution to recreate old data, she thinks that timing differences between the questionnaire and the list request may have caused some of the discrepancies.

If the Director of Institutional Research received the Institution Questionnaire and realized that her office did not have all the necessary data to complete it, she would call the appropriate office (e.g., benefits) to get the information.

The Director of Institutional Research would like to see the same categories on all forms. She would not necessarily connect the NSOPF Institutional Survey to the list collection process unless she was told to do so in the form.

General Observations

The Director of Institutional Research recommends that the due date for the NSOPF List Collection request be late enough in the semester so that it wouldn't be a problem for them to complete the request.

She also wants to be assured that all NSOPF requests be sent to the same place within the university, so that a system for responding to NSOPF would be established.

She also stresses electronic format flexibility.

Other

The Director recommends that NCES talk with AIR leadership and committees (e.g., higher education data policy committee) that deal with survey issues to get their suggestions.

The Director would prefer any further discussion of NSOPF forms to be structured as a group discussion with her colleagues from other institutions.

APPENDIX E

FOCUS GROUP SUMMARIES

NSOPF FOCUS GROUP

Denver, Colorado
NCES Advanced Training Seminar

July 31, 1996

Participants

1. **Associate Director, Office of Planning and Analysis, Research University II**. Responsible for IPEDS report and regional salary analysis. Uses an automated human resources system; relies on this "SCT" system for faculty counts. This system includes information such as full-time vs. part-time, funding, and rank codes. The University has 20,000 students with several professional schools (e.g. pharmacy, nursing). It has a significant number of faculty identified with extension service funds (most state land grant schools have this). Some librarians have tenured faculty status.
2. **Director of Institutional Research, Community College System**. His office maintains all the faculty data in a centralized system for fourteen colleges. He is responsible for all state-wide reporting and maintains codes in the system which indicate which type of faculty to include in the system-wide IPEDS report.
3. **Assistant to the Provost, Doctoral University I.** This institution has one campus overseas. Her responsibilities include supervising staff who maintain data on faculty and students. She provides faculty data on tenures, promotions, and leave, and currently is supervising staff who are converting the existing system to an automated records system--BANNER.
4. **Doctoral student, Research University I.** Has worked in the administrative computing side of a community college. She was responsible for record keeping, including faculty records. She is interested in definitional issues of faculty as they pertain to these databases.
5. **Research Associate, Office of Institutional Research, Doctoral University I.** Has worked with the personnel data file (PDF) in her office. Her institution is currently converting to a centralized electronic record keeping system - BANNER. Data is provided to her office from Human Resources and the Provost's office.
6. **Director of Grant Writing, Instructional Services Office, Community (Associate of Arts) College**. This is a public two-year institution with a main campus and branches in eight different counties. The institution has many part-time instructors. She is familiar with the institutional research office functions.

Note: Three of the participants were IPEDS coordinators. None had experience with the NSOPF survey.

Method

After welcoming the participants and briefly describing the purpose of the discussion, the facilitator handed out a set of NSOPF materials (CAO letter, Institutional Coordinator letter and the list building instructions and forms) for participants review. Ten minutes later, the attendees introduced themselves, identified their institution, and described their job responsibilities. They were then asked to give their impressions about the materials and the process. The discussion was lively. Themes from the discussion are summarized below.

Overall Recommendations

- The primary finding from this focus group is that data collection should be linked to IPEDS. All participants strongly recommended that the IPEDS coordinator should serve as the NSOPF coordinator. This would provide more consistency within an institution. As one participant said, "The process is already in place for IPEDS."
- Participants also recommended that NSOPF use the same time periods as the IPEDS data collection.

Findings

Timing

- Participants said that their faculty files were frozen at a certain date for the Fall semester. The two terms used for this were "census date" or "freezing the file." Ranges for freezing: October 15-November 15.
- Part time faculty were not added to the database until they were assigned a course.
- When asked whether Spring would be a better time to collect data, participants said the later the data collection the more accurate the data, but some institutions noted that their record keeping systems were such that they could not go back to a previous semester to develop faculty lists.
- Participants requested at least one month to compile the lists. The earliest lists could be completed is November 30.

Technology

- Postsecondary institutions represented used one of two types of software packages to store faculty data: BANNER and SCT. They are products of the same vendor.

Definitions/Categories

- Institutions represented did not use the term "faculty status" in their database; they use "rank code."
- Institutions represented would have a hard time categorizing faculty and staff by academic field or teaching discipline in their databases. One participant suggested using the CIP code (a 6 digit number) usually maintained within the institutional research office as the academic field.
- Institutions felt that faculty would be undercounted if the following two categories were excluded: "temporary replacements for instructional and non-instructional personnel" and "faculty and other instructional and non-instructional personnel on leave without pay."
- Participants questioned whether "visiting" faculty were counted twice -- at their current location and their home institution.
- Institutions represented often designated one-year contract faculty at their law and medical schools, "clinical staff." Sometimes contract faculty were considered administrators. Regardless of their status, some staff were excluded from the lists because of their tenure code, which was the basis for selection.
- Some personnel with faculty status might be excluded from the list, (e.g., deans and the president of the institution).
- Participants informed us that a new category, "general faculty," had recently been created in some institutions. Often persons who were put in this category were not faculty, but administrators (e.g., director of telecommunications).

Sources

- All participants believed that the person with the greatest access to and information about faculty lists was the Institutional Researcher (or the person who completes the IPEDS forms). The IR often coordinated with other institution offices.
- Human Resources would have information about non-instructional personnel; the Provost about instructional personnel.
- Participants were not aware of what information EEO might have.
- All participants agreed that the payroll office would not be the best place to request faculty lists, because this office does not coordinate with other offices and only keeps information for its own purposes.

Other

- Institutions used the UNITID code to clarify the scope of the request (e.g., to decide if faculty from more than one campus should be included).

NSOPF FOCUS GROUP

San Diego, California
College and University Personnel Association Annual Conference

October 7, 1996

Participants

1. **Director of Human Resources, Master's (Comprehensive) University I.** Used to have a decentralized mainframe data management system, which was mostly a payroll system. Now all HR systems are integrated on BANNER. The system, which was installed in the last 2.5 years, is located in academic affairs.
2. **Director of Human Resources, Master's (Comprehensive) University I.** The university has a disconnected payroll and personnel system. The payroll system is controlled by the Controllers office in the state capitol. The university has information on name, address, date of service, date of current position, salary, position history, rank. The data goes back to approximately 1974. The state has implemented a CIRS (Campus Information Retrieval System) - Payroll system. In order to get special reports, they have to put in a request, design an output, and wait for response from the state. Each campus has their own specialized database for employees that duplicates much of the payroll system information (BANNER is used on a few campuses). The information requested by NSOPF comes from specialized databases on each campus. He believes there is no one solution to reporting for NSOPF, due to individualized systems at each campus. All information NSOPF needs is available on the campus database. IPEDS is reported by the state.
3. **Director of Payroll and Employee Benefits, Doctoral University I.** The academic research department completes IPEDS. The integrated data system is by SCT (not BANNER) - since '94. All employee information, faculty status, education level, contract type, FTE, (except benefits), is now on one system. The system uses a position control - same ID for all persons with same position, only suffix is different for each employee. All staff accountants have same position number. Data reliability is very high. Prior to SCT, the system was essentially a payroll system; the input accuracy was questionable
4. **Director of Human Resources, Baccalaureate College I.** This institution is creating an integrated data system over the next two years (DATATEL). There is no central database right now. They use position controls.
5. **Director of Research, CUPA.** (The Director sat in for the second half of the discussion.)

Method

After welcoming the participants and briefly describing the purpose of the discussion, the facilitator handed out a set of NSOPF materials (the list building instructions and forms) for participants' review. Ten minutes later, the attendees introduced themselves, identified their institution, and briefly described their institutions' data collection systems. They were then asked to give their impressions about the materials and the process. Themes from the discussion are summarized below.

Overall Recommendations

- Participants recommended that NCES provide clearer information in the introductory paragraph of the instructions about what group or groups of "faculty and staff" the Center was trying to study. Participants felt they had to second-guess the overall purpose of NCES's request by trying to analyze the bulleted "include" and "do not include" categories in the instructions. They also had difficulty interpreting some of the categories.
- It would be impossible for participants to identify temporary replacements from among temporary faculty and instructional staff; they recommended that NCES eliminate temporary replacements from the "do not include" list.
- Participants recommended that terms, such as faculty, permanent, instructional staff, be clarified/defined.
- Participants recommended eliminating the request for home addresses and phone numbers as well as the employee id numbers if they were the same as the Social Security numbers.
- A four to six week time frame for fulfilling the NSOPF list collection request was suggested.
- Participants suggested that NCES be flexible in the data formats it was willing to accept.

Findings

Data Systems

- Because institutions wanted to increase their information-sharing capacity, they were developing integrated data systems. Without integrated systems, preparing data requests took many days just to pull together. Also reliability, accessibility, and speed of retrieval were other concerns which pressed the need for integrated data systems. Faculty/staff tracking needs were great, therefore, very detailed systems were needed.

Instructions for Preparing Lists of Faculty

Introductory Paragraph

- Participants commented on the introductory paragraph. They questioned the meaning of the term "permanent status." Did "permanent" mean tenured? One state was an at-will employer, and listing an employee as permanent anywhere could pose a legal problem. Two participants preferred to see phrases such as continuous, tenured, or regular faculty.
- Two participants recommended the following terminology for faculty: tenure track, tenured; tenure track, not yet tenured; temporary. Another participant's institution had permanent status, but that didn't apply to faculty. For faculty, the tenure/non-tenure system already mentioned worked best.
- What about administrative personnel who taught a class? One participant mentioned the case of a psychological counselor who also taught a psychology course. This individual had a regular teaching assignment, but was not considered faculty; she did not come to faculty meetings because she was considered an administrator. The question of inclusion of this person arose, because the instructions called for including "administrators who have faculty status."
- One participant suggested including the following phrase so that administrators who taught were included on the lists -- "non-faculty who have any instructional responsibilities."
- The group agreed that the phrase "faculty and instructional staff" would not work because, for instance, the psychological counselor is not considered faculty or instructional staff, merely an administrator whose regular assignment includes teaching a class. The appropriate language here would be something like "any personnel with any teaching responsibility." Another participant suggested, "any personnel who do not have faculty status but who may have regular teaching responsibilities."
- The group also recommended that NCES add a general comment (perhaps in the first introductory paragraph) that equates faculty to the phrase "instructional personnel." Many participants were unclear as to what exactly instructional personnel meant. This clarifying statement may help respondents to understand that due to different terminology at different institutions, NCES had to use a number of different phrases to describe the same set of people.
- "Faculty" was also a problematic term. Participants believed that the term faculty had a narrowly defined connotation and so respondents might fail to include college and university employees that NCES wanted, because these people weren't considered faculty by the institution. The group recommended adding a note indicating the specific groups included in the term "faculty."

Item 1 - The fall 1995 academic term is that term which includes the date October 15, 1995.

- The group believed that it was better to be date specific (i.e. October 15) than just state the "Fall term."

- Institutions had other surveys that employed a reference date close to this date, so they were used to fulfilling requests stated in this manner.

Item 2 - INCLUDE the following categories of personnel on your faculty list:

- Bullet #1 - those full- and part-time personnel whose regular assignment includes instruction.

  This was not a problem for participants.
- Bullet #2 - those full- and part-time faculty whose regular assignment includes only research

  Most faculty teach and do research. The participants questioned whether NSOPF wanted faculty who did only research, or faculty that did research in addition to teaching.
- Bullet #3 - permanent and temporary faculty, including those who have adjunct, acting, or visiting status and Bullet #4 - permanent and temporary personnel who have any instructional duties, including those who have adjunct, acting, or visiting status

  For many institutions, adjunct faculty equated to part-time faculty. Adjunct, acting, and visiting may be interspersed with non-regular faculty. Regular faculty for one participant would be all tenure-track faculty, non-regular would be all others. This participant suggested dropping the rest of the sentence from the point ", including..." for both Bullet 3 and 4.
- Bullet #5 - faculty and instructional personnel on sabbatical leave

  The participants questioned, what if the faculty on sabbatical leave are teaching at another institution? They might be included as faculty at the institution where they are teaching, while on sabbatical at their "home" institution. This could lead to double counting.
- Bullet #6 - administrators and all other personnel who have faculty status

  There were administrators who had faculty status, but had not taught a course in years, participants wondered whether these people should be included?

Item 2 - BUT DO NOT INCLUDE...

- Bullet #1 - faculty and other personnel...

  One participant asked if faculty who were on sabbatical and teaching on an exchange in an institution in another country should be included. Another brought the example of a faculty member who took a class from his institution to India for an entire semester. This was a class offered by his institution, only the faculty member taught it in India. Given the current parameters, the participant would have excluded this person.
- Bullet #2 - temporary replacements...

  Who are they? Participants were not clear. They questioned whether they were included in bullet #4 of INCLUDE....? This category did not make sense to participants.
- Bullet #3 - faculty and other instructional...

  Participants thought this bullet was not problematic.

- Bullet #4 - teaching and research assistants
  Participants wondered whether to include or exclude post-doctoral students and lab and research assistants. Many post-doctoral students' primary function was research. Looking at bullet #2 under INCLUDE, it seemed to them as though these students should be included. If they teach, it was clear that NCES wanted them included; however, the research-only function needed to be clarified by NCES.
- Bullet #5 - military personnel who teach only ROTC courses
  Participants thought this bullet was not problematic.
- Bullet #6 - instructional personnel supplied by independent contractors
  Not used by participants, but the concept was clear.

Item 3 - For each person listed, please provide the following information:

A. Full name
   OK
B. Campus address and telephone number
   OK
C. Home address and telephone number
   Recommended that NCES contact professors at the institution address, not home address. Getting home address from most institutions was not possible because of security concerns.
D. Department/program affiliation
   OK
E. Academic or teaching discipline
   OK
F. Race/ethnicity
   Race/ethnicity data also presented problems for some participants. Some institutions did not collect this information. For one institution, race/ethnicity was determined visually. The group also recommended a category for those whose race/ethnicity was unknown.
G. Gender
   OK
H. Full- or part-time status
   OK
I. Employee ID number
   For some participants obtaining the employee identification number might be difficult because at many institutions this ID number was the employee's Social Security number. In cases where it was the employee's SSN, all participants agreed that the institution would not give out this information. There was also some concern about ID numbers that weren't SSN's. Institutions may just be unwilling (or unable) to give out identifying information. There was a suggestion that the institutions assign a dummy ID number that they could trace back to the real ID number in cases of non-response, etc. There was also some talk of a national ID convention, however, to them this seemed unlikely to happen. As a convention for the ID number, one participant suggested: birthdate (MMDDYY

format) and the last 4 digits of SSN. This format would provide a unique number and has been used before at one of participating institutions.

Item 5 - Please submit the lists in machine-readable... and hard copy formats. ...

- Most participants would submit magnetic tapes. Hard copies might be difficult to obtain. One participant said that he would have to provide multiple lists.
- Another participant mentioned that the smaller institutions might not be able to provide the lists in the specified format. Two participants suggested that NCES take whatever format the institution can give (with an attached layout), and reformat at NCES. One participant also mentioned including a preformatted disk (i.e. one that lead the user though all the numbers and list creation and created its own database in whatever format NCES wanted) for small institutions.

Item 6 - We must receive your lists within two weeks

- All participants believed that two weeks was too short. The group recommended a period of four-six weeks for the return.
- The Fall term was an extremely busy time period for all participants.
- One participant recommended sending the request two weeks before October 15 with the return date four weeks later.
- Participants wanted NCES to be aware that the request might not make it to the desk of the person actually filling the request for several weeks.
- One participant recommended that NCES look at the time elapsed from send out to return in the 1993 study, and use that as a guideline in determining the timeframe for institutions to complete the faculty list.
- Participants also recommended adding a "Time Dated Material" stamp to the envelope to expedite it to correct person at an institution.

Other Issues

- What about continuing education? Extended campuses? Certification programs? Non-traditional programs?

  Participants questioned whether faculty on extended campuses should be included on the list.

  Participants also were unsure whether some certification programs, which were not-for-credit, should be included.

  Some participants would include faculty who teach continuing education classes.
- Obtaining data from departments

  Participants were very skeptical about the validity of data from this source because the departmental office was not associated with data-keeping. Another observed that going to the departmental office would increase the number of respondents exponentially and thus increase chances of non-response and error. They believed that the Deans' offices would be better and the "central office" most efficient

- Best sources for a complete list
  - Academic Research
  - Academic Affairs
  - Academic Vice-President
  - Academic Personnel
- Technical assistance
  - Participants thought the 800 number worked but recommended that it be staffed by a survey technician as well as a computer specialist.
- Participants questioned why the NSOPF was called a faculty survey. They believed that the term faculty was restrictive if NCES wanted to measure anyone with contact with students.

NSOPF FOCUS GROUPS

1996 SAIR/SCUP Conference
Mobile, Alabama

October 14, 1996

Participants

Noon Roundtable

1. Associate Director for Planning and Analysis, Research University II
2. Statistical Research Assistant, Master's (Comprehensive) University I
3. Director of Institutional Research, Master's (Comprehensive) University I
4. Senior Research Associate, Research University I
5. Institutional Research Technician, Associate of Arts College
6. Director of Institutional Research, Associate of Arts College
7. Coordinator, Institutional Research, Associate of Arts College System
8. Research Analyst, Research University I

1 pm Program Session

1. Assistant Dean of Student Affairs, Associate of Arts College
2. Director of Planning and Assessment, Associate of Arts College
3. Assistant Director of Institutional Research, Research University I
4. Coordinator of Institutional Research, Master's (Comprehensive) University I
5. (title unknown), Master's (Comprehensive) University I
6. Information Resource Consultant, Research University II
7. (title unknown), Associate of Arts College

Method

After welcoming the participants and briefly describing the purpose of the discussion, the facilitators handed out a set of NSOPF materials (list building instructions and forms) for the participants to review. A few minutes later, the attendees were asked to give their impressions about the materials and the process. The discussion in both groups was lively. Themes from the two discussions are summarized below. Note: each of the sessions was approximately 40 minutes long.

Overall Recommendations

- Participants recommended definitions for types of "faculty and staff" in order to make the data provided by institutions more consistent and believed that this would make the study more valid. The noon group also recommended using standard definitions (such as those used in other federal reporting requirements).
- Both groups had difficulty with the issues of providing information about faculty and staff that is deemed confidential, such as a home address, telephone number, and employee id number (if it is the same as a social security number).

Findings -- Noon Roundtable

Timing

- Participants varied in their responses as to when they can access comprehensive data on faculty and instructional staff -- one said November 30, another said sometime in November, yet another said the month of October.
- Another said that by October, she would have a list of faculty and instructional staff, but salary information is input on a rolling basis and would not be available until January. (This would affect the responses to the Institutional Questionnaire.)
- According to two participants affiliated with community colleges, getting counts of adjunct faculty slows down the process of collecting lists. Adjuncts in two institutions were not in their database because they are hired out of the Dean's office. Therefore, the institutional contacts receive typed lists of adjuncts for each term from the Deans' offices. Adjuncts would need to be "hand pulled" from these lists. On the other hand, these adjuncts are in the payroll system, but this system does not include demographic information such as race/ethnicity.
- One participant recommended that the date used for data collection be the institution's official reporting date which would be defined by each institution.
- Several recommended that the date for NSOPF list data collection be due shortly after the IPEDS due date and that both requests be based on the same time period. However, a sufficient lead time be built into the process so that institutions know that the requests are coming. This sort of timing would make the NSOPF request easier to fill out since the institution would have just cleaned and editing their database in preparation for running the IPEDS request.
- One participant was confused as to what the date October 15th signified -- whether it defined the Fall term or whether NCES wanted a count of faculty as of that date.

Definitions/Categories

- One participant would exclude those that both teach and do research (e.g., faculty with instructional responsibilities 75 percent of their time and research the other 25 percent), because the current wording of the first two bullets would lead this

participant to include only those that do 100 percent research or 100 percent instruction. Aside: in public institutions there are three main types of funding sources: state funds, general funds, and soft money (i.e. for grants, etc.) and these sources would be used to respond.

- Several participants could not distinguish which of the temporary staff were temporary replacements. Temporary employees at one institution were those who are non-tenure track, but the institution did not distinguish between those who were teaching just one term (possibly a replacement) or having a three-year short-term contract. At another institution, temporary faculty and visiting faculty were given the same categorization.
- One person commented that the "to include" categories were not mutually exclusive; he believed that this may cause confusion.
- Another participant questioned why the same guidelines as those for IPEDS were not used.
- One participant wanted "cut and dry categories" that can be programmable/computer generated. She did not want to have to look at each individual contract to assess whether someone whose duties were other than full-time teaching had any instructional responsibilities. She wanted a percentage of instruction (e.g. 51 percent) to be the cutoff.
- Another participant recommended that NCES provide specific definitions for the types of individuals to include on the list as a guideline to the institution, but that there be a place on the form (next to the categories) where the institution can include a footnote which included their definition if it differed from the guidelines. Currently, if NCES is asking for those individuals with "faculty" status they would include faculty who taught at a high school that is on their campus, research associates, and librarians. She recommended that NCES describe clearly what information they want collected. Note: every institution represented would be able to separate out librarians from the lists.
- One participant wanted the instructions to clarify whether to include unpaid as well as paid staff. At this institution, many visiting faculty or emeritus professors were dissertation advisors and taught high level courses had gratis status. Note: even though they were not paid, information on gratis instructors was collected in this institution's database and they were listed as instructors of record for these courses.

Information to be Provided

- Inherently more information is collected on full-time faculty and instructional staff than on part-time.
- Two institutions were not sure they could provide race/ethnicity and gender information for adjunct faculty. The data collected for faculty that were not full-time was very limited. Some of the adjunct information would be in the payroll system but not a complete demographic profile; "collect just enough information to get them paid." However, they could tell who the adjuncts were by their title code.
- Participants would not be able to or would be hesitant to provide home address and telephone numbers.

- Participants also would not provide employee id numbers if the numbers were the same as employee social security numbers.
- One participant thought that their institution may not provide names of faculty; they would only provide the published telephone directory, which includes only full-time faculty.
- Several participants had difficulty assigning a department affiliation for those faculty that taught part time in two departments. One recommended using the budgetary designation (the department which pays the faculty member's salary). There was rarely an even 50/50 split of affiliation (on purpose).

Other

- Two participants had no problems with either the 1993 forms or process because they felt the language used was clear to them and they felt they understood the spirit of what was being asked for.
- One participant recommended eliminating questions about adjuncts because of burden issues.
- Another somewhat jokingly suggested providing a small budget to institutions to fill out the forms.

Findings -- 1 pm Session

Timing

- Participants would like at least a one month lead time for the list collection request.
- They recommended that the list collection request come at the end of October and that they have until December 1 to complete the request.

Definitions/Categories

- One participant with a two-year institution did not have permanent tenured faculty -- contracts were renewed annually. She believed that temporary, part time, and adjunct are vague terms.
- One participant requested more guidance as to whether to include people working in partnership with an institution but who may not have faculty status. She also said that the inclusion of certain categories, such as faculty who were with the adult education program but do not teach, depended on who received the NSOPF request and how they interpreted it. She was also unclear whether to include division chairs as faculty.
- Participants interpreted the "to include" bullet on research as those who conducted 100 percent research only.
- One participant observed that because there was no line on the form for total counts, there might not be an opportunity for the institutional contact to ensure information was not duplicated. Some categories were not mutually exclusive (e.g., all adjuncts

are temporary but not all temporary staff are adjuncts). She recommended adding a line to "not include those listed in a previous category."

- One participant was not clear what "independent contractors" meant. Others volunteered that they interpreted the category to mean those who had grants, were continuing education instructors, provided specific industry training, e.g. safety training.
- Participants wanted to know how "instruction" was defined. Did this mean for-credit only? They questioned how NCES knew what this data was measuring if NCES did not know how respondents from different institutions interpreted the terms used in the survey.
- Participants also wanted more guidance on what "faculty" meant. At some institutions, librarians, counselors, administrators, and researchers have faculty status.
- When asked to define full-time, some participants said their institutions used FTE equations; one institution with annual contracts kept records by contract -- instructors either signed a full-time or adjunct contract. At several institutions full-time faculty might not always teach a full load; they might be conducting research as well.
- Participants defined part-time as those who were not full time
- Participants were unclear if full-time faculty members who also taught as adjuncts in an evening course should be counted twice. They were also not sure how to categorize adjuncts who had full teaching loads, but whose contract stated adjunct. Participants recommended, that if NCES only wanted individuals counted once, then the instructions should direct respondents to "count each individual only once."
- All participants agreed that the categories on the checklist were clearer.

Institution's Process

- Most of the participants were either responsible for or provided information for IPEDS requests. Some sent data to systems offices whose staffed completed the IPEDS' requests.
- One participant was concerned that although he understood the categories, the person who would compile the list, who would most likely work in the Personnel Office, would not understand the classifications.
- All participants did not believe the CAO should be the primary contact for the list collection request. Participants laughed and said that the current process "is real scary." They said that the NCES request might be sent to Academics or to the Registrar's Office; "on a given day, could land anywhere." They recommended sending the request to the Institutional Research Office because "that office would be the best equipped and have the best understanding of these parameters." One participant would handle protocol issues from bottom up, i.e. he would take the responsibility of notifying the CAO, if necessary. Another participant preferred that the CAO be sent a copy of the request at the same time it is mailed to the institutional coordinator. Another participant was concerned that if the CAO would receive a copy, he might act on the request not realizing that he did not have to fulfill it.
- Participants said that continuing education faculty were on a different database. They believed that it would be very difficult to get accurate data on this group. The process

would also be time consuming. Participants would approach the request as a separate process which might require manipulation by hand. They also added that continuing education programs did not operate on a semester basis, but on a 12 month cycle, which may impact timing issues.

- Participants believed that including other contact names on the *Faculty Documentation Form* was unnecessary.
- One participant thought that the A*ffidavit* should be filled out not by the institutional coordinator but by that person's supervisor; otherwise, this person did not believe this requirement to be either necessary or logical.

Information to be Provided

- One participant recommended adding an "other" category to the race/ethnicity options.
- Participants believed providing home address and telephone numbers might be problematic.
- Participants thought that the floppy disk was the best format to provide information. ASCII format worked. They also said that sending information as an E-mail attachment might also be a good format, provided it did not include confidential information such as home address and social security numbers.

APPENDIX F

REVISED INSTRUCTIONS AND FORMS

Instructions for Preparing Lists of Faculty

Fall 1998 Academic Term
1998-99 National Study of Postsecondary Faculty (NSOPF-99)

The National Study of Postsecondary Faculty is the most comprehensive survey of higher education faculty in the United States. It is interested in reaching all individuals with postsecondary instructional responsibilities, regardless of whether teaching is their principal activity. This makes NSOPF a unique opportunity to collect data about the composition of higher education faculty, their work conditions, responsibilities, and attitudes toward their profession. These data are provided to the postsecondary education community, the public, and government agencies to learn about emerging issues and trends within U.S. higher education.

To select the postsecondary faculty who will be asked to complete the NSOPF faculty questionnaire, the National Center for Education Statistics asks a national sample of higher educational institutions to compile lists of faculty at their institution. For the faculty survey to accurately profile America's postsecondary faculty and reflect their concerns, it is important that you follow the instructions below in preparing your institution's list.

Please include all full- and part-time faculty and other instructional personnel for the schools within the UNITID provided, including undergraduate, graduate, and professional (medical, law, etc.) schools. Please note NSOPF surveys a larger group of individuals than faculty (instruction/research/public service) as defined by the Integrated Postsecondary Educational Data System (IPEDS) Fall Staff Survey.

Your list should include those defined as faculty using the IPEDS Fall Staff Survey definition plus two additional categories of personnel: (1) administrators, such as deans, directors, or the equivalent, as well as associate deans, assistant deans, and executive officers of academic departments (chairpersons, heads, or the equivalent), whose principal activity is administrative, but whose assignment includes any for-credit instruction, and (2) all other individuals in the institution with any instructional responsibilities except student teachers or research/teaching assistants. These individuals must either be in residence at your institution or on sabbatical leave during the Fall 1998 academic term.

Your institution may define "faculty" and "non-faculty" personnel or "full-time" and "part-time" status differently than the glossary definitions provided as guidelines. If, in compiling your institution's faculty list, you cannot adhere to the glossary definitions, please interpret these terms as you do at your institution, and write your institution's definitions on the enclosed Faculty List Documentation Form.

Please complete the list collection request by **December 15, 1998**. Please contact us as soon as possible at our toll-free number or e-mail address listed below if you cannot provide a comprehensive list of full- and part-time faculty and other instructional personnel for the Fall term by this date. Also, if you should have any questions about the classification of personnel, and whether they should or should not be included in the list, we encourage you to contact *?????* at *800/xxx-xxxx* or via e-mail at *xxx@xxx*.

GENERAL INSTRUCTIONS AND DEFINITIONS

1. Please provide lists of faculty and other instructional personnel for the **Fall 1998 academic term** only[1].

2. Please list each individual only once.

3. List collection guidelines:

   Types of personnel to be included on the list:

   i. *Faculty* (Instruction/Research/Public Service) using IPEDS Fall Staff Survey definition (see glossary below).

   ii. *Administrators*, such as deans, directors, or the equivalent, as well as associate deans, assistant deans, and executive officers of academic departments (chairpersons, heads, or the equivalent), whose principal activity is administrative, but whose assignment includes any for-credit instruction. Note: these administrators are a subset of the IPEDS category of "Executive, Administrative, and Managerial."

   iii. All other *non-faculty instructional personnel* not included in i and ii above. Note: these personnel are a subset of the IPEDS category of "Other Professionals (Support/Service)." See glossary below.

   INCLUDE:

   - tenured, tenure-track, non-tenured, adjunct, acting, and visiting faculty (including administrators such as deans and department chairs) with full- or part-time status;
   - non-faculty status instructional personnel with full- or part-time status;
   - undergraduate, graduate, and professional school (e.g., law school, medical school, etc.) faculty and non-faculty instructional personnel for all schools included in the UNITID;
   - faculty and non-faculty instructional personnel on sabbatical leave; and
   - language lab instructors, if they teach for-credit courses.

   EXCLUDE:

   - teaching/research assistants and student teachers

GLOSSARY

FACULTY - Employees whose specific assignments customarily are made for the purpose of conducting instruction, research, or public service as a principal activity (or activities), and who hold academic rank titles of professor, associate professor, assistant professor, instructor, lecturer, or the equivalent of any of these academic ranks. If their principal activity is administrative, include deans, directors, or the equivalent, as well as associate deans, assistant deans, and executive officers of academic departments (chairpersons, heads, or the equivalent) if they teach at least one for-credit course. If your institution treats librarians and counselors like faculty, include them.[2]

NON-FACULTY INSTRUCTIONAL PERSONNEL - Personnel who do not have faculty status, but whose assignment includes for-credit instruction.

FULL-TIME - Persons on the payroll of the institution (or reporting unit) available for full-time assignment, at least for the period being reviewed or analyzed or those who are designated as "full-time" in an official contract, appointment, or agreement. Normally, those employees who work approximately 40 hours per week for the full year are considered full-time employees.

PART-TIME - Persons on the payroll of the institution (or reporting unit) employed full-time for short periods of time (less than the period under review) as well as those not available to the institution for 100 percent assignment even though they may be employed for the full period.

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[1] Fall 1998 Academic term is defined as the term that includes the date October 15, 1998.

[2] 1993 IPEDS Fall Staff Survey.

4. For each person listed, please provide the following information:

    a. Full name
    b. Campus address and telephone number
    c. Home address and telephone number[3]
    d. Department/program affiliation (e.g., English, Engineering, Law, Medicine, Education)—The current *home* department or other organization division that has fiscal, programmatic, and administrative responsibilities to which the employee is attached for purposes of personnel assignment and reporting
    e. Academic or teaching discipline (e.g., American Literature, Chemical Engineering, Botany)—The two-digit code of the Classification of Instructional Programs (CIP) that identifies the current academic discipline of the employee; see attached appendix of NCES Classification of Instructional Programs
    f. Race/ethnicity—use one of the following six categories:
        White (not of Hispanic origin)
        Black (not of Hispanic origin)
        Hispanic
        Asian or Pacific Islander
        American Indian or Alaskan Native
        Other
    g. Sex
    h. Full- or part-time status
    i. Employee ID number[4]

5. If this information is not available on a single master list, please submit all applicable lists. Indicate how many lists are being submitted in item [2] of the Faculty List Documentation Form.

6. Please submit the lists in machine-readable (e.g., diskette or computer tape) AND hard copy formats. Indicate how many disks or tapes are being submitted in item [2] of the Faculty List Documentation Form. The "Instructions for Preparing Machine-Readable Lists of Faculty" provide guidelines for formatting machine-readable files.

7. Please also include a copy of your Fall 1998 directory(ies) of faculty and staff.

If you have any questions about preparing the lists, please contact ????? at *800/*xxx-xxxx or at e-mail address xxx@xxx.

THANK YOU FOR YOUR PARTICIPATION

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[3]Previous studies have shown that the response rate is significantly higher for surveys sent to home addresses. If it is possible, we would appreciate your providing home addresses and telephone numbers.

[4]Employee ID numbers facilitate follow-up with the institution. In the case where your employee ID numbers are the employees SSN number and you cannot provide these, kindly provide us with alternative, unique, encrypted employee ID numbers.

Faculty List Documentation Form

1998-99 National Study of Postsecondary Faculty (NSOPF-99)

Please complete this form and return it along with the complete faculty lists.

1. Institutional Coordinator information:

Institutional Coordinator: _____
Last name First name

Title: _____

Telephone number: _____

Name of Institution: _____

2. Please indicate the format of your faculty list.

☐ Hard copy ⇒ *How many different hard copy lists are being submitted?* _____

☐ Floppy disk ⇒ *How many floppy disks are being submitted?* _____

☐ Computer tape ⇒ *How many computer tapes are being submitted?* _____

☐ Other ⇒ *Please explain:* _____

_____

3. If your definitions deviate from those given in the glossary, please use the space below to explain the differences.

Faculty: _____

_____

_____

Administrators: _____

_____

_____

Non-faculty instructional personnel: _____

_____

_____

Full-time: _____

_____

Part-time: _____

_____

PLEASE COMPLETE THE REVERSE PAGE

Check List

1998-99 National Study of Postsecondary Faculty (NSOPF-99)

Please complete the checklist below and return it with your faculty lists and supplementary materials. If you have any questions about any of the items listed, please contact ????? at 800/xxx-xxx or e-mail us at xxx@xxx.

PLEASE ENSURE THAT THE PACKET YOU SEND TO US INCLUDES THE FOLLOWING:
☐ Complete lists of faculty and non-faculty instructional staff (hard copy and machine-readable versions)
☐ Completed Faculty List Documentation Form
☐ Directory(ies) of faculty and staff
☐ Notarized affidavit signed by the Institutional Coordinator

PLEASE PROVIDE COUNTS BY THE FOLLOWING CATEGORIES OF PERSONNEL:			
	COUNTS		
☐ i. IPEDS Fall Staff Faculty (Instruction/ Research/Public Service)	_____		
☐ ii. Administrators whose principal activity is administrative, but whose assignment includes any for-credit instruction.	+ _____		TOTAL
☐ iii. All other Non-faculty Instructional Personnel not included in i or ii.	+ _____	=	_____

FOR EACH PERSON LISTED, THE FOLLOWING DATA IS REQUESTED:
☐ Campus address and telephone number
☐ Home address and telephone number
☐ Department/program affiliation (e.g., English, Engineering, Law, Medicine, Education)
☐ Academic field or teaching discipline (e.g., American Literature, Chemical Engineering, Botany)
☐ Race/ethnicity
☐ Sex
☐ Employment status (e.g., full- or part-time)
☐ Employee/Encrypted ID

Return faculty lists, all forms in this packet, and any other documentation to:

Contractor Address

Instructions for Preparing Machine-Readable Lists of Faculty

1998-99 National Study of Postsecondary Faculty (NSOPF-99)

1. Please follow the guidelines below when preparing machine-readable lists of faculty. We realize that computer capabilities vary widely across institutions and that some of these guidelines cannot be met; be sure to describe any special circumstances or deviations from these guidelines.

For machine-readable faculty lists, please use the following file layout when possible. If your format deviates from this file layout, please note the starting column and number of characters for that field (in columns labelled ACTUAL). Please left justify all fields. Please do not use special characters or delimiters. Please specify your codes for "not known" in the space provided for each field (in column labelled Codes).

		RECOMMENDED		ACTUAL		
Field	Codes	Starting Column No.	Number of Characters	Starting Column No.	Number of Characters	Notes
First name	_____ = not known	1	25			
Last name	_____ = not known	26	25			
Middle initial	_____ = not known	51	1			
Campus address - line 1	_____ = not known	52	35			
Campus address - line 2	_____ = not known	87	35			
Campus address - city	_____ = not known	122	20			
Campus address - state	_____ = not known	142	2			
Campus address - zipcode	_____ = not known	144	9			
Campus telephone number	_____ = not known	153	14			
Home address - line 1	_____ = not known	167	35			
Home address - line 2	_____ = not known	202	35			
Home address - city	_____ = not known	237	20			
Home address - state	_____ = not known	257	2			
Home address - zipcode	_____ = not known	259	9			
Home telephone number	_____ = not known	268	10			
Departmental/program affiliation	_____ = not known	278	20			
Academic field or teaching discipline	_____ = not known	298	2			
Race/ethnicity	1=White (not of Hispanic origin) 2=Black (not of Hispanic origin) 3=Hispanic 4=Asian or Pacific Islander 5=American Indian/Alaskan Native 6=Other 7=Race/ethnicity not known	300	1			
Sex	1=male 2=female 3=sex not known	301	1			

continued on next page

Instructions for Preparing Machine-Readable Lists of Faculty (continued)

1998-99 National Study of Postsecondary Faculty (NSOPF-99)

Field	Codes	RECOMMENDED Starting Column No.	RECOMMENDED Number of Characters	ACTUAL Starting Column No.	ACTUAL Number of Characters	Notes
Employment status	1=full-time 2=part-time 3=employment status not known	302	1			
Employee/Encrypted ID	_____ = not known	303	9			

2. If you are submitting your faculty list on floppy disk, please provide the following information:

   Format: _____ ASCII(preferred) _____ Excel _____ Lotus
   _____ WordPerfect _____ Word _____ Other - please specify --> _____

   If you are submitting your faculty list on computer tape, please provide the following information:

   A. Tape label (external, VOL=SER): _____
   B. Density (BPI): _____ 6250 _____ 1600
   C. Recording mode: _____ EBCDIC _____ ASCII
   D. Internal labeling: _____ none _____ labeled
   E. Logical record length: _____
   F. Number of records: _____
   G. Record format (e.g. FB - for fixed block): _____
   H. Sequential tape label on which file is located: _____
   I. Data set name (DSN, if any): _____

   Floppy disks should be formatted for MS-DOS 3.0 (or later version).
   Faculty lists on computer tape should be provided on 9 track tape.

3. Is there any additional information (e.g., faculty designations, abbreviations, codes, etc.) which would assist us in reading the lists? Please explain, and include any necessary documentation with the lists.

Listing of NCES Working Papers to Date

Please contact Ruth R. Harris at (202) 219-1831
if you are interested in any of the following papers

Number	Title	Contact
94-01 (July)	Schools and Staffing Survey (SASS) Papers Presented at Meetings of the American Statistical Association	Dan Kasprzyk
94-02 (July)	Generalized Variance Estimate for Schools and Staffing Survey (SASS)	Dan Kasprzyk
94-03 (July)	1991 Schools and Staffing Survey (SASS) Reinterview Response Variance Report	Dan Kasprzyk
94-04 (July)	The Accuracy of Teachers' Self-reports on their Postsecondary Education: Teacher Transcript Study, Schools and Staffing Survey	Dan Kasprzyk
94-05 (July)	Cost-of-Education Differentials Across the States	William Fowler
94-06 (July)	Six Papers on Teachers from the 1990-91 Schools and Staffing Survey and Other Related Surveys	Dan Kasprzyk
94-07 (Nov.)	Data Comparability and Public Policy: New Interest in Public Library Data Papers Presented at Meetings of the American Statistical Association	Carrol Kindel
95-01 (Jan.)	Schools and Staffing Survey: 1994 Papers Presented at the 1994 Meeting of the American Statistical Association	Dan Kasprzyk
95-02 (Jan.)	QED Estimates of the 1990-91 Schools and Staffing Survey: Deriving and Comparing QED School Estimates with CCD Estimates	Dan Kasprzyk
95-03 (Jan.)	Schools and Staffing Survey: 1990-91 SASS Cross-Questionnaire Analysis	Dan Kasprzyk
95-04 (Jan.)	National Education Longitudinal Study of 1988: Second Follow-up Questionnaire Content Areas and Research Issues	Jeffrey Owings
95-05 (Jan.)	National Education Longitudinal Study of 1988: Conducting Trend Analyses of NLS-72, HS&B, and NELS:88 Seniors	Jeffrey Owings

Listing of NCES Working Papers to Date--Continued

Number	Title	Contact
95-06 (Jan.)	National Education Longitudinal Study of 1988: Conducting Cross-Cohort Comparisons Using HS&B, NAEP, and NELS:88 Academic Transcript Data	Jeffrey Owings
95-07 (Jan.)	National Education Longitudinal Study of 1988: Conducting Trend Analyses HS&B and NELS:88 Sophomore Cohort Dropouts	Jeffrey Owings
95-08 (Feb.)	CCD Adjustment to the 1990-91 SASS: A Comparison of Estimates	Dan Kasprzyk
95-09 (Feb.)	The Results of the 1993 Teacher List Validation Study (TLVS)	Dan Kasprzyk
95-10 (Feb.)	The Results of the 1991-92 Teacher Follow-up Survey (TFS) Reinterview and Extensive Reconciliation	Dan Kasprzyk
95-11 (Mar.)	Measuring Instruction, Curriculum Content, and Instructional Resources: The Status of Recent Work	Sharon Bobbitt & John Ralph
95-12 (Mar.)	Rural Education Data User's Guide	Samuel Peng
95-13 (Mar.)	Assessing Students with Disabilities and Limited English Proficiency	James Houser
95-14 (Mar.)	Empirical Evaluation of Social, Psychological, & Educational Construct Variables Used in NCES Surveys	Samuel Peng
95-15 (Apr.)	Classroom Instructional Processes: A Review of Existing Measurement Approaches and Their Applicability for the Teacher Follow-up Survey	Sharon Bobbitt
95-16 (Apr.)	Intersurvey Consistency in NCES Private School Surveys	Steven Kaufman
95-17 (May)	Estimates of Expenditures for Private K-12 Schools	Stephen Broughman
95-18 (Nov.)	An Agenda for Research on Teachers and Schools: Revisiting NCES' Schools and Staffing Survey	Dan Kasprzyk
96-01 (Jan.)	Methodological Issues in the Study of Teachers' Careers: Critical Features of a Truly Longitudinal Study	Dan Kasprzyk

Listing of NCES Working Papers to Date--Continued

Number	Title	Contact
96-02 (Feb.)	Schools and Staffing Survey (SASS): 1995 Selected papers presented at the 1995 Meeting of the American Statistical Association	Dan Kasprzyk
96-03 (Feb.)	National Education Longitudinal Study of 1988 (NELS:88) Research Framework and Issues	Jeffrey Owings
96-04 (Feb.)	Census Mapping Project/School District Data Book	Tai Phan
96-05 (Feb.)	Cognitive Research on the Teacher Listing Form for the Schools and Staffing Survey	Dan Kasprzyk
96-06 (Mar.)	The Schools and Staffing Survey (SASS) for 1998-99: Design Recommendations to Inform Broad Education Policy	Dan Kasprzyk
96-07 (Mar.)	Should SASS Measure Instructional Processes and Teacher Effectiveness?	Dan Kasprzyk
96-08 (Apr.)	How Accurate are Teacher Judgments of Students' Academic Performance?	Jerry West
96-09 (Apr.)	Making Data Relevant for Policy Discussions: Redesigning the School Administrator Questionnaire for the 1998-99 SASS	Dan Kasprzyk
96-10 (Apr.)	1998-99 Schools and Staffing Survey: Issues Related to Survey Depth	Dan Kasprzyk
96-11 (June)	Towards an Organizational Database on America's Schools: A Proposal for the Future of SASS, with comments on School Reform, Governance, and Finance	Dan Kasprzyk
96-12 (June)	Predictors of Retention, Transfer, and Attrition of Special and General Education Teachers: Data from the 1989 Teacher Followup Survey	Dan Kasprzyk
96-13 (June)	Estimation of Response Bias in the NHES:95 Adult Education Survey	Steven Kaufman
96-14 (June)	The 1995 National Household Education Survey: Reinterview Results for the Adult Education Component	Steven Kaufman

Listing of NCES Working Papers to Date--Continued

Number	Title	Contact
96-15 (June)	Nested Structures: District-Level Data in the Schools and Staffing Survey	Dan Kasprzyk
96-16 (June)	Strategies for Collecting Finance Data from Private Schools	Stephen Broughman
96-17 (July)	National Postsecondary Student Aid Study: 1996 Field Test Methodology Report	Andrew G. Malizio
96-18 (Aug.)	Assessment of Social Competence, Adaptive Behaviors, and Approaches to Learning with Young Children	Jerry West
96-19 (Oct.)	Assessment and Analysis of School-Level Expenditures	William Fowler
96-20 (Oct.)	1991 National Household Education Survey (NHES:91) Questionnaires: Screener, Early Childhood Education, and Adult Education	Kathryn Chandler
96-21 (Oct.)	1993 National Household Education Survey (NHES:93) Questionnaires: Screener, School Readiness, and School Safety and Discipline	Kathryn Chandler
96-22 (Oct.)	1995 National Household Education Survey (NHES:95) Questionnaires: Screener, Early Childhood Program Participation, and Adult Education	Kathryn Chandler
96-23 (Oct.)	Linking Student Data to SASS: Why, When, How	Dan Kasprzyk
96-24 (Oct.)	National Assessments of Teacher Quality	Dan Kasprzyk
96-25 (Oct.)	Measures of Inservice Professional Development: Suggested Items for the 1998-1999 Schools and Staffing Survey	Dan Kasprzyk
96-26 (Nov.)	Improving the Coverage of Private Elementary-Secondary Schools	Steven Kaufman
96-27 (Nov.)	Intersurvey Consistency in NCES Private School Surveys for 1993-94	Steven Kaufman

Listing of NCES Working Papers to Date--Continued

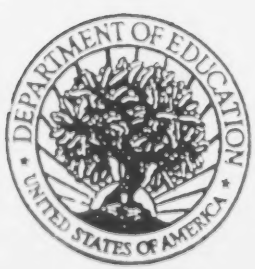
Number	Title	Contact
96-28 (Nov.)	Student Learning, Teaching Quality, and Professional Development: Theoretical Linkages, Current Measurement, and Recommendations for Future Data Collection	Mary Rollefson
96-29 (Nov.)	Undercoverage Bias in Estimates of Characteristics of Adults and 0- to 2-Year-Olds in the 1995 National Household Education Survey (NHES:95)	Kathryn Chandler
96-30 (Dec.)	Comparison of Estimates from the 1995 National Household Education Survey (NHES:95)	Kathryn Chandler
97-01 (Feb.)	Selected Papers on Education Surveys: Papers Presented at the 1996 Meeting of the American Statistical Association	Dan Kasprzyk
97-02 (Feb.)	Telephone Coverage Bias and Recorded Interviews in the 1993 National Household Education Survey (NHES:93)	Kathryn Chandler
97-03 (Feb.)	1991 and 1995 National Household Education Survey Questionnaires: NHES:91 Screener, NHES:91 Adult Education, NHES:95 Basic Screener, and NHES:95 Adult Education	Kathryn Chandler
97-04 (Feb.)	Design, Data Collection, Monitoring, Interview Administration Time, and Data Editing in the 1993 National Household Education Survey (NHES:93)	Kathryn Chandler
97-05 (Feb.)	Unit and Item Response, Weighting, and Imputation Procedures in the 1993 National Household Education Survey (NHES:93)	Kathryn Chandler
97-06 (Feb.)	Unit and Item Response, Weighting, and Imputation Procedures in the 1995 National Household Education Survey (NHES:95)	Kathryn Chandler
97-07 (Mar.)	The Determinants of Per-Pupil Expenditures in Private Elementary and Secondary Schools: An Exploratory Analysis	Stephen Broughman
97-08 (Mar.)	Design, Data Collection, Interview Timing, and Data Editing in the 1995 National Household Education Survey	Kathryn Chandler

Listing of NCES Working Papers to Date--Continued

Number	Title	Contact
97-09 (Apr.)	Status of Data on Crime and Violence in Schools: Final Report	Lee Hoffman
97-10 (Apr.)	Report of Cognitive Research on the Public and Private School Teacher Questionnaires for the Schools and Staffing Survey 1993-94 School Year	Dan Kasprzyk
97-11 (Apr.)	International Comparisons of Inservice Professional Development	Dan Kasprzyk
97-12 (Apr.)	Measuring School Reform: Recommendations for Future SASS Data Collection	Mary Rollefson
97-13 (Apr.)	Improving Data Quality in NCES: Database-to-Report Process	Susan Ahmed
97-14 (Apr.)	Optimal Choice of Periodicities for the Schools and Staffing Survey: Modeling and Analysis	Steven Kaufman
97-15 (May)	Customer Service Survey: Common Core of Data Coordinators	Lee Hoffman
97-16 (May)	International Education Expenditure Comparability Study: Final Report, Volume I	Shelley Burns
97-17 (May)	International Education Expenditure Comparability Study: Final Report, Volume II, Quantitative Analysis of Expenditure Comparability	Shelley Burns
97-18 (June)	Improving the Mail Return Rates of SASS Surveys: A Review of the Literature	Steven Kaufman
97-19 (June)	National Household Education Survey of 1995: Adult Education Course Coding Manual	Peter Stowe
97-20 (June)	National Household Education Survey of 1995: Adult Education Course Code Merge Files User's Guide	Peter Stowe
97-21 (June)	Statistics for Policymakers or Everything You Wanted to Know About Statistics But Thought You Could Never Understand	Susan Ahmed
97-22 (July)	Collection of Private School Finance Data: Development of a Questionnaire	Stephen Broughman

Listing of NCES Working Papers to Date--Continued

Number	Title	Contact
97-23 (July)	Further Cognitive Research on the Schools and Staffing Survey (SASS) Teacher Listing Form	Dan Kasprzyk
97-24 (Aug.)	Formulating a Design for the ECLS: A Review of Longitudinal Studies	Jerry West
97-25 (Aug.)	1996 National Household Education Survey (NHES:96) Questionnaires: Screener/Household and Library, Parent and Family Involvement in Education and Civic Involvement, Youth Civic Involvement, and Adult Civic Involvement	Kathryn Chandler
97-26 (Oct.)	Strategies for Improving Accuracy of Postsecondary Faculty Lists	Linda Zimbler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